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ABSTRACT

This is Volume II-A of a study to describe federally-subsidized state and county child day care management systems and to report how well the management systems work. Information is reported in terms of nine subsystems: (1) Needs Assessment, (2) Planning and Implementation, (3) Evaluation, (4) Information and Referral, (5) Client Eligibility, (6) Licensing, (7) Monitoring, (8) Training and Technical Assistance, and (9) Fiscal Management. This volume presents data on the following states: Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska. (MS)

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CHILD DAY CARE MANAGEMENT STUDY

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Volume II-A
State Summaries

ALABAMA - NEBRASKA

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1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State Supervised, County Administered.

Description of Administrative Structure: The Department of Pensions and Security is the designated state service agency. The department is comprised of three Administrative divisions: The office of Program Administration, the Office of Internal Administration, and the Office of External Administration.

Primary responsibility for child care programs is vested in the Office of Program Administration. This office is composed of a Special Programs and Projects Section, a Social Services Planning Section, and five bureaus: Food Assistance, Public Assistance, Adult Services, Family and Children's Services, and Emergency Welfare.

The Division of Day Care and Child Development - within the Bureau of Family and Children's Services - is responsible for the overall management of the state's child care program. This Division is staffed by a Division Supervisor, two social workers, and nine Child Care Consultants.

Licensing standards were developed at the state level. A State Advisory Committee, consisting of in-house staff as well as consultants and providers invited by the Commissioner, was formed to advise, assist and review the licensing standards.

Responsibility for implementing the licensing standards is shared by state and local workers: the state Child Development Consultants license day care centers in 64 of the 67 counties. County workers license centers in the remaining 3 counties and they license day care homes in all counties.

The Special Programs and Projects Section has responsibility for monitoring child day care programs under contract. This Section and the Division of Day Care and Child Development share responsibility for the provision of training and technical assistance.

Statewide, there are 67 county Departments of Pensions and Security. The county departments are supervised at the state level by the Bureau of Field Services within the Office of Internal Administration. Each county has a county director as the local administrator who is appointed by the local county Board of Pensions and Security from a state certified personnel register.

The Alabama site visit was conducted in January, 1976. Interviews were held with state personnel in Montgomery and with county personnel in Huntsville (Madison County) and Opelika (Lee County).

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Each county Department of Pensions and Security provides services to families and children. Depending on county size, units providing these services may have any combination of the following staff: child care specialists, social worker I's and II's, case work reviewers, and casework supervisors.

Program policies and procedures are established at the state level in Alabama. Implementation of policy is undertaken by both state and county level personnel.

1-2 STATE RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$31,266,845	$56,137,635
Total Child Care Funds (Titles IV-A/XX)	8,795,931	16,510,100
Percentage of Total Social Services Funds Allocated to Child Care	28%	29%

The Comprehensive Annual Services Program Plan (CASP) for FY 75-76 is a 12-month plan. The dollar amounts shown above for FY 75-76 are those given in the CASP plan. The total child care funds shown are for direct day care services for children.

In addition to the federally matched allocation of $56,137,635, there is also an unmatched state allocation of $8,526,396 for a grand total of $64,664,031. $8,414,796 of the unmatched allocation was budgeted for Children's Services.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public** Centers	705	3,137	$7,686,835	No Breakout Available
Private** Centers				
Group Day Care Homes	This category not used.			
Family Day Care Homes **	1,586	1,634	962,648	
Related *** Home Care	unk	unk		
In-home Care	unk	unk	146,448	
TOTAL	2,291	4,771	$8,795,931	$16,510,100

* Includes all licensed, approved or otherwise sanctioned providers

** Centers and Day Care homes are operated for both day care and night care.

*** Expenditures for related home care are included in the expenditures for family day care homes even though the service differs programmatically. Related home care is a service given by an adult relative (excluding a parent) in the relative's home. The case worker has the responsibility to assist the parent or other responsible relative in determining that a related home care plan is suitable. No license is required, but the home must be re-evaluated every 12 months. Both in-home and related home care are supported by WIN funds.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized?	Primary Client	Where Maintained
Narrative social service case records	YES	Family	Local
Standardized social service forms	YES	Family and Individual	State and Local
Computerized Records	YES	Family and Individual	State and Local

Extent of Data: Narrative and standardized social service forms are utilized. There is also a state computerized information system. All information is substantially complete.

Data Aggregation: Data is collected at the county level and computerized at the state level. This computerized system generates monthly and quarterly reports including numbers of children served, number of providers, and the dollars expended, by each county, for child care.

The state information system has been revised to reflect the goal structure and data requirements of Title XX. No problems were anticipated in completing the social service reporting forms, but there was some concern expressed with reference to meeting the deadline.

1-5 STATUTES

The Child Care Act of 1971 (Act #174) now governs the operation of child care services in Alabama. It defines types of care for which the Dept. has licensing responsibility. In addition, fire and health Dept. requirements and local ordinances must be complied with.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Funding for adequate day care, and availability of providers (all types) were specified as problems at the state level. At the local level, lack of infant care in both day care homes and day care centers was cited as a problem in meeting the needs of parents. Day care for school age children was also cited as a problem.

It was reported that there are some public relations problems because some parents/providers do not readily accept state and federal controls. In some urban communities, city zoning ordinances and requirements for business licenses prevent some prospective providers from offering child care. Transportation was also cited as a problem.

The development of a monthly newsletter by the Madison County staff and the Lee County (Opelika-Auburn) staff has been well received and praised by their communities. Community involvement in the development of centers has been high. Local media often provide free services, enabling the department to reach more people.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Pre-Title XX Needs Assessment: Alabama authorized and conducted, under contract, three major needs assessment studies prior to Title XX. The initial study, under a demonstration grant, was limited to three counties: Madison, Mobile, and Jefferson. The goals of this study were to determine needs and develop resources for children. The second study was conducted by the University of Alabama at Birmingham, in May of 1972. The purpose of this project was to develop a basis for a statewide plan for the delivery of integrated child development services to infants and young children. Primary consideration was given to planning for children less than six years old and emphasis was directed to the Appalachian section of Alabama (this territory covers an area of 35 northern counties and consists of approximately 50% of the geographical area of the state). The third and final pre-Title XX study, entitled "Alabama Day Care Needs and Day Care Resources," was performed by an outside consultant and covered a period of three years (1970-73). It brought together interrelated studies and provided the state with an analysis of all facets of day care delivery and need.

Title XX Needs Assessment: The Social Services Planning Section of the state office conducted the Title XX needs assessment.

The needs assessment included: Administration of a services need questionnaire to a sample of clients at time of intake in county offices statewide, to all county directors of Pensions and Security, and to the State Department of Pensions and Security Social Services Advisory Committee. The sample of clients to whom the questionnaire was administered consisted of 1,000 individuals distributed among the 67 counties based on county population. 770 questionnaires were returned.

Needs data and needs studies were also solicited from a broad range of human service organizations, both private and public. Among the 152 agencies, organizations and individuals contacted for data were:

- All state United Fund organizations
- All state human service agencies
- All current purchase of service contractors of the Department of Pensions and Security
- All regional planning and development commissions
- Representatives of organized labor

Existing departmental data on needs, studies of needs conducted by other human service agencies and national statistics provided additional material which was reviewed and analyzed. The Bureau of Management Information provided data on current service usage in the state.

Staffing: The needs assessment was integrated into the planning process over 5 months. A total of 1-2 person months was devoted to the needs assessment. It was reported that the needs assessment began late in the planning process and that it was completed under constraints of time, dollars and staff shortages.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensively Utilized	Review and analysis of existing departmental data on needs, studies of needs conducted by other service agencies, and national statistics
Agency Personnel	Extensively Utilized	County directors and the state Social Services Advisory Committee responded to the Service Needs Questionnaire
Community Agencies	Extensively Utilized	Needs data and needs studies were solicited from United Fund Organizations, Service Agencies, Planning and Development Commissions, and representatives from organized labor. Community agencies were also included in public hearings.
Service Providers	Extensively Utilized	Needs data and needs studies were solicited from all current purchase of service contractors of the state Department of Pensions and Security. Service providers were also included in public hearings.
Consumers	Extensively Utilized	The sample of clients to whom the questionnaire was administered consisted of 1,000 individuals statewide. Consumers were also included in public hearings.
General Public	Limited Utilization	Included to a limited extent in the state Social Services Advisory Committee. The general public was also included in public hearings.

2-3 RESULTS/UTILIZATION

Specific Numerical Results: The Service Needs Questionnaire incorporated 31 different types of service. For each service included, respondents were asked to rank the service as "greatly needed," "slightly needed," or "not needed." The response distribution for child day care is shown below:

	No. of Respondents	Percent
Greatly needed	553	72
Slightly needed	126	16
Not needed	65	9
Not checked	26	3
TOTAL	770	100

No analysis was undertaken by client type or geographic area.

Degree of Integration into the Planning Process: The needs assessment was conducted as part of the planning process and the needs assessment data was submitted to the state Social Service Advisory Committee and to the state Task Force responsible for Title XX Planning.

Findings from the assessment helped shape the selection of services for Title XX implementation consistent with organizational capacities, available financial resources, and applicable state and federal law and regulations.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-Going Planning: There was no single unit with responsibility for on-going social services planning before Title XX.

Title XX Planning: A state Task Force, consisting of staff from the Office of Program Administration, as well as other in-house staff from the Department of Pensions & Security, was formed to develop the Title XX plan.

Staffing: The needs assessment and Title XX planning were integrated in a single process over a period of 5 months.

3-2 PLANNING PROCESS

Title XX planning was conducted as a result of the needs assessment which was completed as the first phase. Insofar as possible, the planning was directed to meet the unmet needs specified in the needs assessment. The effort resulted in a specification of the total number of individuals to be served, population categories to be served, and dollar allocations to counties.

It was reported that Title XX planning was more formalized and more intensive than previous planning efforts. No special effort was directed toward child care planning. A proposed Title XX plan was published as a display advertisement in the newspaper of widest circulation in each county for three consecutive editions.

Public hearings were held at 10 locations, throughout the state, and approximately 2,000 people attended.

Comments on the proposed plan were received from 141 individuals at the public hearings and written comments were received from 55 persons. After the proposed and final plans were published, citizens had access to a toll free number where information could be obtained.

3-3 RESULTS

Areas for Quantification	De-fined	Quanti-fied	Types and Numbers	Compa-rison
Total number to be served	yes	yes	9,727 children	more
Population Categories to be served	yes	yes	ADC-11215;SSI-1269 income elig.-5586	Unk.
Priority Population Categories	no	no	-	-
Service Provider Types	yes	no	Centers, Family homes & In-home providers	Unk.
Special Provider attributes (e.g., hrs. of service)	no	no	-	-
Geographic Areas (Rural Areas)	yes	yes	Dollars allocated to counties	more
Dollars Allocated for Child Care Service	yes	yes	$16,510,100	more

Planned Organizational Changes: A separate Office of Social Service Planning was created in 1975.

3-4 UTILIZATION/IMPLEMENTATION

It was reported that the income level for eligibility has been raised and the number of provider agencies has been increased, consistent with the Title XX plan.

4. EVALUATION

No systematic or formal statewide evaluations of child day care have been conducted.

It was reported however, that Alabama's computer based social services information system will provide data which can be used for purposes of evaluation. This system will reflect, on a statewide basis, identified client problems, patterns of service directed toward removing problems, and obtainable goals for each client. The system will provide for a systematic relationship between goals, problems, and services.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING INFORMATION AND REFERRAL

While information and referral services (for multiple social services, including child care) are generally available at both the state and local level, no specific department or bureau is labeled INFORMATION AND REFERRAL.

I & R services are provided by SAU-WIN staff, social service workers, casework reviewers, child care specialists, child care workers, and casework supervisors. The social service workers, child care workers, and child care specialists were identified as the dominant personnel providing information and referral.

Many volunteer agencies, mainly those in the larger urban areas, are also actively involved in information and referral. Information and referral is provided by the county departments in all 67 counties.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rate	Avail.
Centers	yes	yearly*	yes	yes	yes	yes
Homes	yes	yearly*	yes	yes	yes	yes
In-home	no	-	-	-	-	-

* The state publishes a day care center listing brochure yearly, with changes submitted to the counties as they occur. It was reported that information on family day care homes is assembled at the county level.

Dissemination of Information: Community meetings, word of mouth, community bulletin boards in rural areas, media coverage, yellow pages, and monthly newsletters are used to make the community aware of child care services.

Assessing Client Need/Referral and Follow-up: County Service Workers have the primary responsibility for assessing child care needs, based on the child's age, family composition, personality and/or developmental level, hours of care, and cost of care. Both counties visited reported that an assessment takes 2 or 3 hours.

Parents are involved in the selection of a facility. Generally, they are given a choice of facilities that are located within a reasonable distance from their homes. In rural areas, transportation often limits the selection.

Both counties have formalized follow-up procedures through correspondence, visits and/or telephone calls.

5-3 RESULTS (County Level)

Time period: 3 months

	Madison County	Lee County
Number clients seeking child care referral	300	100
Number actively assisted	175	90
Number securing their own services	100	unk.
Number unable to secure services	25	10

No estimates of results were available statewide.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are established at the state level by the Bureau of Family and Children's Services. Direct implementation, from the acceptance of applications through the determination of eligibility, is the primary responsibility of county staff.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC (WIN) - parent must be in a training program
- AFDC - non WIN
- SSI
- Income Eligibles:
  - -Free child day care for families earning up to 55% ($542/mo. for family of 4) of the state median income.
  - -Full cost to families earning over 55% of the state median income.
- Title IV-B - DPS does not pay for child care services.

Revisions Since the Passage of Title XX: No specific changes in relation to child day care were specified.

Materials to Ensure Uniform Interpretations: As a result of Title XX, major changes were made in the state's Manual for Administration of Services to Children and Their Families. A number of forms, fact sheets, and application forms were also designed, developed, and distributed to the counties.

6-3 PROCESS AND VOLUME

Applications: Standardized forms developed by the state and covering family information, income information, and verification methods, are in use throughout the state.

Applications are accepted at the county level by social service workers.

The total number of applications received throughout the state was not available. In Madison county, approximately 900 applications for child care had been received in the past year. In Lee county, 182 applications were received.

Eligibility Determination and Verification: County social service workers determine eligibility. If the client is a welfare recipient, this fact is verified by a review of the client's public assistance case file. If a client is employed, proof of earnings must be presented. Generally, the time required for establishing eligibility ranges up to, but can take no longer than, 30 days from the date of the completed application. Day care services cannot begin until eligibility has been approved.

Quality Control: Clients are asked to report any changes of status that may affect eligibility. Quarterly reviews are also required for all persons providing child care services. Eligibility is redetermined for clients receiving day care services at least every six months or sooner if there is an indication of change in the clients eligibility.

As a part of the county supervisor's responsibility, he or she reviews periodically the work performed by staff in the unit.

Redetermination of Eligibility: The steps and procedures required for a redetermination of eligibility are generally the same as those for the initial determination except that it is not necessary to have a new application filed. This means that all verification materials for eligibility must be redocumented.

Redetermination is made at least every six months. The process requires that the client be contacted by the assigned social worker. If the client is found ineligible, Title XX child care services are discontinued. Case workers often supply information to clients as to where they can secure continued services at their own expense.

Appeals: Clients who have been declared ineligible, are informed of their rights of appeal. Alabama reported one appeal had been filed during the past year. The client lost the appeal and was referred to several child care centers for continuation of services at the client's own expense.

6-4 PARENT FEES

No parent fees are charged.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibilty: The state is responsible for the development of licensing standards and procedures; both state and county personnel are responsible for the implementation of licensing procedures, including both issuance and enforcement. The state Child Development Consultants are responsible for licensing day care centers in 64 counties. In three counties, the licensing of centers is conducted by county staff. All licensing of Family Day Care Homes is conducted by county staff.

No license is required for in-home care. However, the provider must be given approval to operate when applying for state supported child care services.

Staffing: At the state level there are 11 workers and one supervisor who work full time on licensing. A graduate degree is a requirement for the Child Development Consultants on the state level.

In Madison County, 5 social workers and one casework reviewer work full time on licensing. An undergraduate degree is the minimum requirement for employment as a social worker.

In Lee County, 1 child care specialist works 60% of his/her time on licensing. A child care specialist is required to have at least an undergraduate degree and either a Masters degree in a related field or considerable experience in a social agency.

7-2 STANDARDS

Standards Development Process: Previously, minimum standards for day care centers for children under three and over three were separately defined. The standards were combined under one cover and updated in 1974. The standards for homes were also updated in 1974.

In revising the minimum standards for both centers and homes, the state Department of Pensions and Security utilized the resources of departmental staff and the Commissioner invited an Advisory Committee including providers, consumers, and other knowledgeable persons representative of the field of day care. The standards were reviewed and approved by the state Advisory Committee.

There are also minimum standards for in-home care and relative day care which were updated in 1969.

Content of Licensing Standards:

Staff-Child Ratios

Centers: (Public and Private)	Ages	Ratios
	3 wks. to 2 1/2 yrs.	1:5
	2 1/2 yrs. to 4 yrs.	1:10
	4 yrs. to 6 yrs.	1:20
	6 yrs. to 8 yrs.	1:22
	8 yrs. and older	1:25
Group Day Care Homes: This category not utilized.		
Family Day Care Homes: The maximum number of children can not exceed six for any part of the day.*		

*The actual number of children who can be served (up to a maximum of 6 children) is based on an assessment of the day care mother's ability to provide services.

Additional Components of Standards: For centers, the standards cover multiple facets of administration, staffing (including in-service training), the facilities and the child care program (including disciplinary practices, staff-parent communication, and health and medical needs). Additions and/or modifications to the standards for night time care are defined separately.

For homes, the standards cover the operator and members of the household (including training, and working with parents), the home (including fire and safety, and play materials), and the care of children.

Comparison of Standards and FIDCR: Alabama's staff-child ratios are less stringent than FIDCR. For centers, most of the FIDCR components are included, although there is no requirement for social services or parent involvement beyond staff-parent communication. There is an educational component which is a requirement of licensing, but is not a requirement of FIDCR.

It was reported that FIDCR is enforced when services are purchased.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	# Sanctioned	# Disq.	Planned	Actual
Public Centers	Approval/ License	705	705	unk.	every 2 years	every 2 years
Private Centers	License					
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	License	1,586	1,586	unk.	every 2 years	every 2 years
Relative* In-home	Approval	unk.	unk.	unk.	at least once every 12 mos.	at least once every 12 mos.
In-home*						

*The provider must be given approval to operate when applying for state supported child care service.

It was reported that all known providers are either licensed or have a license pending. If the FFP is provided, the center or home must meet FIDCR.

Fees for License: No fees are charged.

Content of License: For both family day care homes and centers the license includes:

1. Day of issue
2. Period valid and/or expiration date
3. Maximum number of children to be served
4. Age range of children to be served
5. Category of license and limitations
6. Providers name and certification

7-4 LICENSING PROCESS

Areas of Investigation: For both family day care homes and centers, a licensing study covers among other things:

1. Physical characteristics of facility
2. Provider characteristics
3. Provision of programmatic components including education and nutrition
4. Verification that children and staff have had medical clearances
5. Provisions for handling sick children

Extent and Nature of Process: A structured licensing study format is utilized in the licensing investigation. The community is made aware of state licensing requirements through the media, agency contacts, telephone contacts, legislative activity and through the state's Public Affairs Bureau.

In order to complete a home licensing study, 2 to 4 visits are made. For centers 4 to 6 visits are made. The approximate time lapse between the initial study and the actual receipt of a license is about 60 days. Family Day Care Homes and Day Care Centers are not authorized to begin service delivery until a license or a 6 month permit has been granted. Many, however, are already operating when they come to the attention of the Department.

Factors delaying the issuance of a license include such items as equipment, medical information on staff and children, proper fencing of the play areas, and in some counties, fire and health department approval.

Conditional Licenses: The state may issue a 6-month permit to persons making initial application for a license to allow a center or home reasonable time to become eligible for a full license. The 6-month permit is issued if specific areas of the minimum standards are identified as lacking and if the applicant can demonstrate or document that action towards full compliance with regulations will be undertaken in good faith. Issuance of a permit is evidence that the State authorizes the center's or home's temporary operation without the center or home having fully met all requirements. 90% of all applicants have fulfilled all conditions during the past year. At the time of the site visit, there were 45 six-month permits for centers. The number of permits for homes was unknown.

State standards provide procedures for appeal.

Revocations: The State may revoke or refuse to renew the license of the child care facility or refuse to issue a full license to the holder of a 6 month permit. This occurs generally when an operator consistently fails to maintain standards published by the State, violates the provisions of the license issued, or fails to comply with certain safety regulations.

Fewer than 10 licenses were revoked last year.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

At the state level, the Special Programs and Projects Section and the Division of Day Care and Child Development has the major responsibility for monitoring contracted day care facilities. The state level personnel are involved in monitoring centers in 64 counties. In 3 counties, the monitoring is conducted by county staff.

In addition, the county staff monitors family day care homes and in-home providers.

8-2 MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time per unit
		of all Sanctioned	of all serving FFP's	of all contracted		
Public Centers	State Staff (County Staff in 3 counties)	100%	100%	100%	Quarterly	16 hours - State 8 hours - County
Private Centers						
Group Day Care Homes	This category not utilized.					
Family Day Care Homes	County Staff	100%	100%	100%	Quarterly	* 3 hours each visit
In Home	County Staff	N/A	100%	Unk.	At Least Every 6 Months	* 3 hours

* It was reported that all licensed or approved providers are monitored. The average time per unit of the county staff in monitoring family day care homes and in-home providers includes preparation for the visit, the visit itself, and paper work resulting from the visit.

8-3 PROCESS

For contracted centers, the monitoring by Special Programs and Projects utilizes two state forms: (1) the Contract Monitoring Guide, and (2) the Monitoring Report. Both forms are used in the evaluation of programs, the investigation of operations and services, and the review of records. The Division of Day Care and Child Development and County Depts. provide consultative services to assure the continued well being of the children in care, the maintenance of prescribed standards, and the achievement of programs related to the care of children being served. Monitoring strategies consist of telephone calls, scheduled site visits, unannounced site visits and written reports.

County staff monitoring of Family Day Care Homes and In-home providers involves narrative recording in the providers file.

Community based organizations, and neighbors of child care facilities have often notified the State of special problems noted, and this action will force a monitoring visit.

8-4 RESULTS

The areas cited by state personnel as the most difficult for providers to comply with are: staff training, staff·child ratios, and the health requirements. Madison County staff cited staff·child ratios as the most difficult. Lee County cited facilities, staff training, and health requirements.

State personnel reported that at any given time, 15% of the operators are not in full compliance with state and federal regulations. At the county level, one site reported that no operators were out of compliance while the other reported that at least 5 were not in full compliance with existing state and federal regulations. County staff are working with these homes.

Follow-up consists of a notification to the provider, the setting of a target date for achieving compliance, and follow-up visits. Technical assistance is provided in setting priorities in all areas of non-compliance. Monitoring is considered to be of prime importance throughout the state.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The staff in the Special Programs and Projects Section, the Bureau of Family and Children's Services, the Bureau of Field Services, and the Bureau of Staff Development are involved in training and technical assistance.

The state conducts an on going training program for state and county staff. Licensing Consultants provide some training for operators of day care centers and family day homes. Consultants from the University of Alabama School of Social Work and from other colleges and universities have provided input for the training program.

State staff also provide technical assistance to centers through site visits.

Local: County family and children's services staff provide technical assistance to Family Day Care Home providers.

Staff Background: Backgrounds vary from staff with an undergraduate degree to staff with graduate training or degrees in the field of early childhood education and development or Social Work.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State Staff	Regional Office (OCD)	On-going Consultation	UNK
State and County Staff	State Staff, University of Alabama, & other universities and colleges.	Seminars, workshops; child development, model programs	UNK
County Staff	State Staff	Site visits and workshops; child development, standards, regulations, organization	UNK
State and County Staff	State Staff	On-going training Program	UNK

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers	State Staff	On-going training program	UNK
Centers	State Staff and staff in 3 counties	Site visits; licensing requirements, educational and nutritional components, parent involvement	1 1/2 hrs. per provider per year
Homes	County Staff	On-going training program	UNK
Homes	County Staff	Site visits; licensing requirements, educational and nutritional components, parent involvement	1 1/2 hrs. per provider per year

It was reported that all providers, including centers, homes, and in-home providers, were given TA last year.

9-3 PROCESS

The determination of needs for training and technical assistance generally includes observation and subjective evaluation of state-wide child care needs. It was reported that training and technical assistance is provided to the staff and providers on an individual basis.

It was reported that training and technical assistance was the area of greatest need among providers. Content of training and technical assistance revolves around program enrichment, nutritional requirements, child care regulations, and other problems identified through monitoring efforts and input from providers.

Training and technical assistance is provided through site visits, demonstration workshops, and problem related seminars. Individual counseling by site visits has proved to be one of the most successful methods. The Madison County staff and the Lee County staff have developed a monthly newsletter to providers that was reported to have produced noted change in local child care programs. State efforts to develop and improve libraries, containing the most current information relating to the improvement of child care programs, continues to be a high priority.

9-4 RESULTS

The State assesses the effectiveness of its training and technical assistance efforts by noting changes as a result of training and technical assistance. In general, it is felt that training and technical assistance has been effective, but there is not enough of it. Participation and input by the providers has been more than adequate, although transportation in rural areas has presented problems.

9-5 PRINTED MATERIALS

None Specified.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure: Fiscal Management is solely a state function and is managed by the Bureau of Financial Management.

Function: The responsibilities of the Bureau of Financial Management include: recording all funds available, developing cost projections, preparation of state budget and expenditure reports, drafting fiscal policies and procedures, performing audits, and providing TA to other Bureaus of the Department of Pensions and Security.

10-2 FISCAL MATERIALS

The full complement of state-federal resource materials have been developed by the Bureau of Family and Children's Services, the Bureau of Special Programs and Projects, and the Bureau of Financial Management. The State reported that the developed materials are adequate for their needs, but continues to stress improvement of resource material. All materials were rated good to excellent.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/IV-A	$8,413,510 (96%)	$16,510,100*
WIN	382,421 (4%)	Unk.
CWS	- 0 -	Unk.
TOTAL	$8,795,931	Unk.

*Represent total state and federal funds.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75
Purchase of Service Contracted Facilities	$7,686,831
Vendor-Paid Facilities	1,109,096
Direct Provision/Operation	-0-
Client Purchase With Social Service Reimbursement	-0-
TOTAL	$8,795,913

Description of Funding Methods/Processes:

A) Purchase of Service: Currently, the state purchases services from licensed or approved day care centers on a contractual or vendor basis, and from licensed family day care homes on a vendor basis. Contract and vendor agreements have been developed for all provider types. Contract management is performed by the Bureau of Financial Management. The State is not involved in any large scale sub-contracting. Upon receipt of the providers monthly invoice, it is logged and then verified against the budget and finally a voucher is prepared for payment. Providers are audited every six months.

B) Direct Provision: None

C) Client Purchase: None

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10-5 RATE ESTABLISHMENT

Provider Type	RATES	
	Basis	Maximums 1/76
Centers	Maximums established by state each year, based on availability of funds	$75/mo. per child full time; $38/mo. per child part time
Family Day Care Homes		$65/mo. per child full time; $33/mo. per child part time
In-home		Based on number of children full time. Full time*: 1 child, $50 up to 6 children, $165 per month. Part time*: 1 child, $25 up to 6 children, $83 per month.

* The state also pays for a combination of full or part time care not to exceed $165 per month.

In April, 1976, new rates were established, as follows:

Centers - $85/mo. per child full time
$43/mo. per child part time
Homes - $75/mo. per child full time
$38/mo. per child part time

10-6 IN-HOME CARE

Supported by WIN funds and Title XX funds.

10-7 INCOME ELIGIBLES AND PARENT FEES

For all services other than day care, free care is provided for families earning up to 80% ($786/mo) of the state median. For day care services, free care is given up to 55% ($542/mo) of the state median. No fees are charged.

10-8 DONATIONS

Total donations received from both public and private sources was $450,000.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model

Description of Administrative Structure:

Department of Health and Social Services, an umbrella agency designated Title XX agency. There are six divisions, of which the Division of Social Services is one, and has the responsibility for the management of day care.

Last year the legislature appropriated 1.2 million dollars for the Department of Community and Regional Affairs to purchase day care for children under 7 years of age, or working parents whose income is over the AFDC eligibility level, adjusted for geographical area by economic level. They contract with local communities for day care services.

There are no on-going advisory groups. Within the last year and a half, three ad hoc task forces have addressed day care. One was established by the Department of Education to deal with the problems between the Department of Education and DHSS in licensing of facilities. In the Fairbanks area a task force was set up to deal with the impact of the pipeline on child care needs. A Legislative Affairs Agency committee addressed the implementation of the state day care purchase program and planning for facility expansion.

Fiscal control and monitoring are done by the Fiscal Unit of the Division of Social Services. The billing process begins in the local office where the invoice is checked by a clerk for accuracy and forwarded to the Fiscal Unit of the DHSS Division of Administrative Services where there is an audit against the contract made. If there is a problem, it is sent to the fiscal control unit whose responsibility it is to monitor expenditures. If no problem, it is sent to the Department of Administration for payment.

The Division of Social Services has, within the last year, decentralized the day care licensing function. The state office staff is responsible for establishing policies and procedures, fiscal monitoring and consultant services. The responsibility for fiscal audits is carried by a Special Audit Unit in the Office of the Commissioner.

Alaska information secured from state staff during the month of May 1976.

The state is divided into three Regions, each with an office with a Social Services section responsible for day care. The Regional Offices' Managers direct and coordinate services to the 26 local (district) offices where direct social services are provided and arrangements made for purchased services.

The Regional Offices have nine Child Care Specialists who do licensing and monitoring of day care centers and family day care homes, and provide consultant services to the district offices. Licenses are processed through the Regional Offices. The district offices do some licensing and monitoring of day care in the villages that are great distances from the Regional Offices.

Licensing is only one of many functions performed by local office staff.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	10,755,300	12,333,400
Total Child Care Funds (Titles IV-A/XX)	1,017,000	1,344,400
Percentage of Total Social Services Funds Allocated to Child Care	9%	11%

1-3 VOLUME OF CHILD CARE SERVICES

PROVIDER TYPE	NUMBER SANCTIONED PROVIDERS	NUMBER FFP CHILDREN (PER)	ACTUAL EXPENDITURES FY 74-75	ANTICIPATED EXPENDITURES FY 75-76
PUBLIC CENTERS	0	0	0	0
PRIVATE CENTERS	55	134	Not Available	Not Available
GROUP DAY CARE HOMES	0	0	0	0
FAMILY DAY CARE HOMES	231	155	N/A	N/A
IN-HOME CARE	0	0	0	0
TOTAL	286	289	650,161	1,344,400

WIN:		FY 74-75	FY 75-76
Centers	25		
Homes	45	278,561	754,400

1-4 INFORMATION SYSTEM

Nature of Records:

TYPE OF RECORD	UTILIZED	PRIMARY CLIENT	WHERE MAINTAINED
NARRATIVE SOCIAL SERVICE CASE RECORDS	Yes	Parent or child	local
STANDARDIZED SOCIAL SERVICE FORMS	Yes	Parent or child	local
COMPUTERIZED RECORDS	Not	yet computerized	

Extent of Data:

Client identifiers, provider, method, cost, hours and duration of service and demographic descriptors are contined in a contract signed by client, provider and social worker and maintained in the local office. Goal data and service plan are collected on a standardized form and kept in the local office.

Data Aggregation:

There is a plan developed for computerized data collection at the state level and is in the process of being implemented.

1-5 STATUTES

In addition to the licensing law, there is a Day Care Assistance Law under the Department of Community and Regional Affairs that appropriates funds for families not eligible for federally funded care. The Department of Education also has a statute covering their responsibility for supervision of the education component in day care programs.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The decentralized licensing process is seen as a strength due to the vast geographical area.

There is a problem seen in that mandate by federal and state regulations cause some providers to refuse federally funded children.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility:

In 1973-74 under the Alaska Native Land Claims Settlement Act, a review of all programs affecting Alaska natives was made.

In 1972-73 the Office of State Operated Schools did a review of child care needs in rural Alaska.

The Comprehensive Planning Section of the Department of Health & Social Services reviewed all of the information gathered for Title XX planning and gathered pertinent information from other state agencies.

2-2 PROCESS

SOURCES OF INFORMATION	EXTENT UTILIZED	STRATEGY
DOCUMENTARY SOURCES	Extensively	Baseline data & consus data
AGENCY PERSONNEL	Extensively	Departmental decision makers made determination
COMMUNITY AGENCIES	Some	
SERVICE PROVIDERS	Some	Public and private service agencies were surveyed by mailed questionnaire
CONSUMERS		A random sample of consumers were surveyed by questionnaire and personal interview.
GENERAL PUBLIC	Some	Had opportunity to comment at Title XX public hearings.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

The Division of Social Service, Department of Health & Social Services provides the major input into planning for eligible children based on numbers of children served, dollars expended and projections. The Department of Community & Regional Affairs depends upon community planning for implementing their day care programing. Both Departments have done some provider recruitment in communities expressing a need for day care.

3-2 PLANNING PROCESS

Administration of WIN day care is done by the same staff that administers AFDC day care in the two cities that have WIN programs. Information on both programs is computerized and utilized in planning.

No Title IV-B funds are used for day care.

The pre and post Title XX processes for day care planning differs in that Title XX formalizes the planning and there are hearings throughout the state on the Title XX plan for citizen input. Limited funds as a result of the federal ceiling on Title XX is seen as mitigating against any need for significant planning since there can be no expansion of services utilizing federal monies.

3-3 RESULTS

AREAS FOR QUANTIFICATION	DE-FINED	QUANTI-FIED	TYPES AND NUMBERS	COMPA-RISON
TOTAL NUMBER TO BE SERVED	Yes	Yes	Family & Center 530 children	more
POPULATION CATEGORIES TO BE SERVED	Yes	Yes	335 AFDC & SSI 175 CPS & Spec.Needs	more
PRIORITY POPULATION CATEGORIES	No	No		
SERVICE PROVIDER TYPES	No	No		
SPECIAL PROVIDER ATTRIBUTES	No	No		
GEOGRAPHIC AREAS	Yes		Statewide	
DOLLARS ALLOCATED FOR CHILD CARE SERVICE	Yes		Est. $709,100	more

Planned Organizational Changes:

Plans for organization changes have not been finalized.

4. EVALUATION

The only evaluation of the day care delivery system in Alaska was done by UNCO, Inc., under contract to the Regional Office of HEW. This study was concerned with the quality of federally supported day care in all four states of Region X. It resulted in the establishment of a joint State/Regional partnership to evaluate the level of the States' compliance with the FEDCR's. A Monitoring Guide has been developed and self-evaluation instruments designed to measure state administrative compliance with FIDCR's. The administration self-evaluation is now in process and the provider self-evaluation instruments are being field tested. Alaska, as other states in Region X, has participated continually in this effort.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Social workers & WIN workers in local Division of Social Services Offices and the Department of Community & Regional Affairs local agents.

5-2 PROCESS

There is a social services informational booklet available in public buildings and in all DHSS offices. The case workers have specific information collected on a standardized form that is available upon request.

Updating at the local level is continual. The statewide computer update is done every three months.

PROVIDER TYPE	SYSTEMATIZED	FREQ. OF UPDATES	INFORMATION COMPILED			
			AGES	HRS.	RATES	AVAIL.
CENTERS	at state level	3 months	Yes	No	No	No
HOMES	at state level	3 months	Yes	No	No	No
IN-HOME	Not applicable	Not applicable	N/A	N/A	N/A	N/A

Disseminating Information:

Statewide printouts are disseminated to Regional Offices and to the Department of Community & Regional Affairs offices.

Assessing Client Need/Referral and Follow-Up:

The Social worker has the responsibility for assessment of client need.

The parent makes the final selection of a provider.

The plan is reviewed every three months.

5-3 RESULTS

Information not available.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The Department of Health & Social Services, Division of Social Services, has responsibility for establishing eligibility regulations and making actual eligibility determination.

6-2 POLICY PROVISIONS

Eligible Population Categories:

AFDC
AFDC-WIN
SSI Children or children of SSI recipients
Children with special needs with categorical linkage
Children with protective service needs with categorical linkage

Population priorities are as above.

No revisions since passage of Title XX.

6-3 PROCESS AND VOLUME

Applications:

Standardized application forms are used statewide. Local social workers are responsible for securing applications. Clients are required to furnish verification of income.

Eligibility Determination and Verification:

Time lapse between application and the receiving of service does not exceed 30 days.

Quality Control:

Quality control is based upon AFDC eligibility.

Redetermination of Eligibility:

Frequency - 6 months

A reapplication is made.

Appeals:

The appeal procedure is stated on the back of the form.
Notice of Finding is sent to each client who applies for services.
There have been no appeals in the last year.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility:

The Division of Social Services within the Department of Health & Social Services.

Staffing:

There are 9 child care specialists.

Authority for licensing is covered in Alaska Statute 47.35.010-080 in manual appendix.

Revocations and denials are governed by a generalized statute called the Administrative Procedures Act, A.S. 44.62.010-650.

Child Care Specialists I must have a B.A. degree plus two years experience in child development work. Appropriate graduate work may be substituted for experience and appropriate work experience may be substituted for education on a year for year basis.

7-2 STANDARDS

Standards Development Process:

Current standards development process unknown except that hearings were held in Anchorage in 1962.

Present revision process.

1. Utilize previous draft which was reviewed by 40 professionals, providers, and consumer groups and also the HEW Guides and legislative task force recommendations to develop a set of proposed standards.
2. Obtain an informal/legal review and rewrite.
3. Announce (30 days notice) hearings in media. We also sent regs to all providers. 500 copies printed and at least 100 additional necessary to fill all requests.
4. Hearings were held in Anchorage, Fairbanks and Juneau by the Director and/or state child care specialist and in each of 25 district offices by district representatives.
5. Hearing material is currently being tallied for a report. Regulations will be rewritten to take testimoney into account.

6. The draft will be reviewed in the Department of Law.

7. The approved regulations will be filed with the Lt.Governor and go into effect 30 days after the filing.

CONTENT OF STANDARDS:

STAFF-CHILD RATIOS

	AGES	RATIOS
CENTERS: Recommend 1 adult for each 5 children	all ages	1 - 10
GROUP DAY CARE HOMES:		
FAMILY DAY CARE HOMES:	all ages	1 - 6

Additional Components of Standards:

For both centers and homes:

- Administration
- Emergency plan
- Staff requirements
- Space requirements
- Nutrition
- Napping procedures
- Health & safety
- Infant care
- Equipment
- Discipline
- Program
- Parent involvement

7-3 SUMMARY OF ACTIVITIES

PROVIDER TYPE	SANCTION REQUIRED	PROVIDERS			RENEWAL FREQ.	
		TOTAL #	# SANCTIONED	% DISQ.	PLANNED	ACTUAL
PUBLIC CENTERS	None					
PRIVATE CENTERS	License	55	55		1 year	1 year
GROUP DAY CARE HOMES	None					
FAMILY DAY CARE HOMES	License	231	231		1 year	1 year
RELATIVE DCH's						
IN-HOME						

Fees for Licenses:

Centers (unless they have non-profit status) must have a business license costing $25.00 per year. They are informed of this by licensing worke

Family Day Care Homes must have a business license costing $25.00 per year. They are informed of this by licensing workers.

Content of Licenses:

Person or facility name
location
type of license (provisional or annual)
type of facility (center, home)
number of children
age group to be served
effective date
conditions or special instructions

7-4 LICENSING PROCESS

Family Day Care Homes

Areas of Investigation:

Family members (applicant characteristics)
Physical environment
Program plans
Meals/snacks
Discipline
Health & safety
Record keeping
Water supply (if private well, must be tested)

Extent and Nature of Process:

Homes are made aware of need for license by word of mouth and by news media and recruitment through churches, schools, civic organizations, volunteers and public agencies. Some screening is done over the phone. An application packet is sent with a letter explaining the process. Upon receipt of application, references are checked, and an appointment made for a home visit, and a study is done. One home visit is mandatory, a second unannounced visit is recommended. The study follows a standardized form. License is issued for one year and renewed upon request after a review of the home is made.

Centers

Areas of Investigation:

Characteristics of staff
Inspection by Health & Environmental Protection Office in Anchorage
Inspected by Fire Marshal
Inspected by Sanitation Officer
Records covering
    Children's records
    Emergency info
    Staff health records
    Personnel forms
    Attendance

Space
Nutrition
Napping procedures
Health, safety & emergency procedures
Infant & children under 3 requirements
Equipment

- Discipline
- Program
- Parent involvement
- Staff responsibilities & training
- Administration
- Insurance coverage

Extent and Nature of Process:

A structured format is used. Centers must be inspected by the Fire Marshal, the Sanitation Officer from the Health Department. One visit is made upon receipt of the application and usually a second one is necessary. The time lapse averages 30 days.

Conditional Licenses:

Conditional licenses are issued for a period of less than one year at the discretion of the Division to allow time for compliance with regulations. No deficiencies jeopardizing health and safety shall be allowed.

Revocations:

Only one revocation in the past year.

Where deficiencies are found, the licensing worker discussed these with the licensee and gives the licensee a period of time not to exceed 30 days to come into conformance. This contact is followed with a letter. If conformance is not met, the licensee is informed by certified mail that revocation will occur in 30 days unless the health or wellbeing of children is in jeopardy when the notice is hand delivered effective immediately. A "Notice of Defense" card is enclosed with the letter informing of revocation stating the entitlement to a hearing under the Administrative Procedures Act.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The licensing review for renewal is considered to be a monitoring process. It is done by the licensing staff annually and the licensing format is used as a guide to determine compliance.

8-2 SUMMARY OF MONITORING ACTIVITIES

PROVIDER TYPE	BY WHOM MONITORED	PERCENT MONITORED			FREQUENCY	AV. TIME PER UNIT
		OF ALL SANCTIONED	OF ALL SERVING FFP'S	OF ALL CONTRACTED		
PUBLIC CENTERS	---					
PRIVATE CENTERS	Licensing Staff	100%	100%	100%	Annually	Information Unavailable
GROUP DAY CARE HOMES	---					
FAMILY DAY CARE HOMES	Licensing Staff	100%	100%	100%	Annually	Information Unavailable
IN-HOME						

8-3 PROCESS

There is a visit made upon receipt of a reapplication form when the licensing form is reviewed with the provider. If deficiencies are found, the provider is given a period of time (usually less than 30 days) to correct. A second visit is made to assure corrections have been made.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State:

The state office has a person responsible for staff development, but very little training relates directly to day care. The state staff arranges some informal training sessions for themselves using community resources. The state staff also provides some training and technical assistance on licensing procedures to local licensing staff. Local licensing staff coordinates training of providers. A federally funded contract with the University of Alaska in 1975 provided trainers to work directly with care givers.

9-2 ACTIVITIES

STAFF DEVELOPMENT

TO WHOM	BY WHOM	DESCRIPTION	AMOUNT
State staff	State staff development staff	General social service training	Some
local staff	state licensing staff	licensing procedures record keeping & billing	some

PROVIDER TRAINING AND ASSISTANCE

TO WHOM	BY WHOM	DESCRIPTION	AMOUNT
all providers	local licensing staff coordinates	child development activities health & safety newsletter resource library discipline	some

9-3 PROCESS

Licensing staff becomes aware of training and technical assistance needs in their contacts with providers. They coordinate training and technical assistance to the extend they are able within time and resource constraints. These include a resource lending library, newsletter, AAEYC workshops, Health Department training (in Anchorage), Fire Department training, and Department of Education workshops.

Areas covered in these various sessions cover communications between providers and parents, activities in various child development components, health and safety, nutrition, emotional development and discipline.

10 FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

Fiscal responsibility is carried by a central fiscal unit within the Department of Health & Social Services. This unit receives from the local office all claims for payment, checks for appropriateness against the contract for service, and authorizes payment. Warrants for payment are issued by a centralized finance division in the Department of Administration.

All invoices are reviewed and approved for payment in the local office where the obligation is incurred.

They are checked against attendance records and to insure a contract is in effect and that billing meets the contract terms. Identifying information on the children and caseworker is added to the invoice and it is authorized for payment.

Routine fiscal decisions are made by the fiscal unit. Policy decisions are made in the office of the Director. It is the responsibility of the district office to decide the proper program funds for the care provided and to enter that account code on each billing to insure funds are properly expended.

Fiscal year funding estimates are coordinated with program staff to determine funding requirements for each program in line with the goals and objectives of program managers. All billing problems arising which reflect potential need for clarification or expansion in a procedural manner are brought to the attention of the program manager. The program manager also coordinates policy and procedural changes with the Financial Affairs unit.

The state agency provides direct services through district offices situated in local communities.

10-2 FISCAL MATERIALS

The central office of the Division develops accounting materials and guides for field staff. A coding handbook specifying account coding to be used and when to apply them was prepared by the Financial Affairs unit. The manuals covering program direction and isntructions for completing forms were prepared by the program supervisors.

10-3 INCOME SOURCES

SOURCE	AMOUNT/% FY 74-75	AMOUNT/% FY 75-76
TITLE XX/IV-A	$381,600 58%	$590,000 44%
WIN	$278,561 42%	$754,400 56%
CWS	---	
UNMATCHED STATE FUNDS	---	
OTHER	---	
TOTAL	$660,161	$1,344,400

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

METHOD	EXPENDITURES FY 74-75	ANTICIPATED EXPENDITURES FY 75-76
PURCHASE OF SERVICE CONTRACTED FACILITIES	100,000	1,344,400
VENDOR-PAID FACILITIES	560,161	
DIRECT PROVISION/OPERATION		
CLIENT PURCHASE WITH SOCIAL SERVICE REIMBURSEMENT		
TOTAL	660,161	1,344,400

Description of Funding Methods/Procedures:

A. Purchase of Service:

Contracts are entered into with all day care centers and family day care homes and fulfill Title XX requirements.
Quality control is maintained by a process of review of each billing action against the contract at the local office and in the state fiscal office before approval for payment is made.

B. & C. Direct Provision & Client Purchase:
There is no direct provision of day care or client purchase.

10-5 RATE ESTABLISHMENT

Unit of Measurement:

Part time:care up to 5 hours in a 24 hour period.

Full time: care for more than 5 hours and through 10 hours in a 24 hour period.

PROVIDER TYPE	RATES		
	BASIS	AVERAGE	RANGE
PUBLIC CENTERS			
PRIVATE CENTERS		Full day $8.00 per day per child. Part day $5.00 per day per child.	Full day $6 - $10. Part day $3.50 - $7.25
FAMILY DAY CARE HOMES		Full day $8.00 per day per child. Part day $5.27 per day per child	Full day $7 - $10 Part day $1.25 - $6.25
GROUP DAY CARE HOMES			
IN-HOME			

Infants and handicapped children: State policy allows for differing rates for infants and for handicapped children.

The current rate schedule and system has been in effect less than one year, but has for the most part been satisfactory. Provider complaints have virtually ceased.

The majority of Alaskans purchasing child care are not receiving federal funds and thus the general public, correctly, has the greatest influence on rates.

10-6 IN-HOME CARE

There is no in-home care.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Economic Security (DES) is the designated state social service agency. The department is comprised of three major divisions. Responsibility for planning and developing of programs and policy is vested in the Program Services Division. The implementation of the program and policy is vested with the Field Services Division.

Within the Program Services Division, specific responsibility for child care management is in the Social Services Bureau. Basically, the Bureau develops policy and procedures, while day to day administration and implementation occurs at the district and local levels.

Fiscal management is handled by the Fiscal Management Bureau within a separate Administrative Services Division.

Arizona's child care program is administered by a series of six district offices. Local offices within each district are responsible for actual service delivery.

Personnel at both the district and local level are employed by the state. It was estimated that the equivalent of approximately thirty-one workers are assigned to child care statewide.

The state Department of Health is responsible for the development and enforcement of standards for all day care centers. State level workers in the Health Department are responsible for assessing centers and for the issuance of licenses. The Social Services Bureau is responsible for the development and enforcement of standards for all Family Day Care Homes. Local Social Services personnel are responsible for assessing homes and for the issuance of certifications.

The Arizona Department of Economic Security has contracted with two outside agencies for the provision of Child Day Care Services. One agency administers the programs and is responsible for all child care functions. The other agency was used for the purpose of channeling payment and the supervision of financial activities of the centers.

Prior to Title XX, selected economically depressed areas were designated in Arizona and all children whose parents lived within the boundaries were eligible for day care. Title XX phased out the group eligibility basis for day care and replaced it with an individual eligibility determination.

The Arizona site visit was conducted in February, 1976. Interviews were held with personnel in the state office and with district personnel in Tucson.

1-2 STATE RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 74-75	FY 75-76
Total Social Services Funds (Titles IV-A/XX)	UNK	$11,304,880
Total Child Care Funds (Titles IV-A/XX)	$3,503,314	$ 5,540,000
Percentage of Total Social Services Funds Allocated to Child Care	UNK	49%

While the Comprehensive Annual Services Program Plan (CASP) for 75-76 is a 9 month plan, we are assuming that the dollar amounts shown are for the entire fiscal year. The services are for child day care only for normal children of eligible categories, including the children of persons unable to provide care because of emotional or physical disabilities. The services include consultation to parents.

For FY 75-76, $24.5 million was available from the Federal Government; however, the inability of the state to meet matching requirements resulted in Arizona receiving less than $12 million. According to the Title XX plan, 55% of the child care budget is allocated for the support of income eligibles.

It was reported that there are 31.6 full time equivalents assigned to child day care statewide.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type*	Number Sanctioned Providers*	Number FFP Children	Actual Expenditures	Anticipated Expenditures
			FY 74-75	FY 75-76
Public Centers (Non-profit)	100	4,776	3,221,612	No Breakout Available
Private Centers (Proprietary)	350			
Group Day Care Homes	THIS CATEGORY NOT UTILIZED			
Family Day Care Homes	623	1,505	943,253	No Breakout Available
In-Home Care	35	UNK	38,119	
TOTAL	1,108	6,281	$4,202,984**	$5,500,000**

*Includes all licensed, approved or otherwise sanctioned providers.
**Includes WIN

Additional information on the distribution of FFP children served in centers and homes, by age, was provided by the state, as follows:

	centers	homes	total
under 3 yrs.	997	269	1266
age 3 yrs.	806	134	940
age 4 to 5	1597	226	1826
age 6 to 9	1120	439	1559
age 10 to 14	254	432	686
over 14	2	5	7
	4776	1505	6281

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	Yes	Family	Local
Standardized Social Service Forms	Yes	Family and Individual	State and Local
Computerized Records	Yes	Family	State and Local

Extent of Data: Narrative and standardized social service forms are in use. The forms are used for all social service clients, including child day care. There is a statewide computerized information system, but at this time the system produces only limited reports on child care.

Data Aggregation: Data collection occurs at the local level and then is fed into a state system. Information is aggregated for all social services but only limited breakouts are available on child care. The state information system is currently being revised to reflect the goal structure and data requirements of Title XX.

1-5 STATUTES

The Licensing Act of the Arizona State Revised Statutes governs the operation of child care services. Other statutes that impact on child care operations are city zoning regulations, local building codes, state fire marshal codes, and local health, sanitation, and fire regulations.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The transition from geographical group eligibility prior to Title XX to individual eligibility under Title XX was cited as a problem. Under Title XX, it was reported that 800 children will no longer be eligible for free day care services. A remaining group of 1200 children will be phased into an already existing statewide day care program.

State personnel felt that the staff:child ratio as set forth in FIDCR was too stringent.

Staff ability was cited in the development of a "good" Family Day Care Home Program. In addition, it was stated that the monitoring system has been improved, and that provider relationships have been improved.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: A needs assessment was conducted by the Social Service Bureau prior to Title XX planning. A special effort was made to identify child care needs. In addition to input from documentary sources and from citizen based committee, a series of public meetings were held throughout the state in which representatives from human services groups and interested citizens were invited to advise state personnel of needs that had been identified in the communities.

Staffing: The needs assessment was conducted by state staff in the Social Services Bureau. State personnel felt that when Title XX came out, they were not prepared to complete the study in the alloted time of three months. Approximately 6 full time equivalents worked on the assessment. It was reported that the effort was more extensive than previous assessments.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensively Utilized	State Census for 1970, prior plans and reports, state questionniare, and existing state documents relating to number of children on waiting lists for child care services.
Agency Personnel	Utilized to some extent	Staff from the Bureau of Research and Statistics (Social Services Bureau), the Program Development and Evaluation Section, and from the State Department of Health were utilized in the needs assessment.
Community Agencies	Utilized to some extent	Day Care Center Directors (both public and private), membership of the Community Council of Maricopa County, the Tucson Association for Child Care, were invited by mail to attend community meetings and public hearings.
Service Providers	Utilized to some extent	
Consumers	Utilized to some extent	
General Public	Utilized to some extent	

2-3 RESULTS/UTILIZATION

Specific Numerical Results: As a result of the needs assessment it was reported that the state was able to determine, by District, the number of children using existing programs, the number that are AFDC, the number receiving services under donated funds, and the number of working female heads of households with children under six. The state projected child care needs, by district on the basis of these determinations.

The major unmet needs were identified as the lack of providers for infant care, lack of adequate day care services for reservations, and the absence of providers in specific rural and semi-rural areas of the state. State personnel stated that stringent licensing certification standards have hampered their efforts in dealing with these unmet needs.

Degree of Integration Into the Planning Process: In addition to the numerical estimates of need, by district, it was possible to determine (for planning purposes) the location of centers for special day care services (handicapped), the number of children that were on the DES "waiting list" for low income eligibles services, and how many children were involved for the Navajo Reservation.

On the basis of the estimates geographical allocations of services were altered.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-Going Planning: The Program Development and Evaluation Section, a unit within the Social Services Bureau, had the responsibility for planning Social Services before Title XX. This consisted of multiple responsibilities, including planning. In a reorganization of the Social Services Bureau on-going planning for Social Services will be vested with a planning and contracts section.

Title XX Planning: The Program Development and Evaluation Section developed the Title XX plan in conjunction with the Governor's Office of Economic Planning and Development. The Governor's Planning Office was created, by Executive Order, to coordinate and integrate the functional planning processes of the State. The Governor also established, by Executive Order, the Arizona State Planning and Coordinating Committee, designed to serve as a forum for interrelating state concerns.

Prior to Title XX, communities had the major responsibility for Child Care planning. Title XX planning was the initial state effort in total child care planning.

Staffing: Staff of the Program Development and Evaluation Unit developed the Title XX plan. The planning effort included consultation with agency staff, outside agencies and interface with WIN and Titles IV-A and B. Child care staff provided input to the planning effort.

3-2 PLANNING PROCESS

Since 1970 the State has been divided into six planning districts established by Executive Order of the Governor. At the local level six Councils of Government were created, involving every county, city, town, and certain Indian tribal governments. Each of the Councils of Government are governed by elected officials from member entities and function as areawide planning organization. The regional councils performed local planning and submitted regionally approved plans. These regional plans were then integrated and consolidated at the state level using criteria established by State policy and federal mandate. It was reported that Child care planning was no more extensive than other social services planning.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total # to be served	YES	YES	9800 children at any given time (about 6700 children in FY 74-75)	32% increase
Population Categories to be Served	YES	NO	ADC ADC-WIN Income eligibles Families receiving protective services.	Unknown
Priority Population Categories	YES	NO	Unknown	Unknown
Service Provider Types	YES	NO	Day Care Centers Day Care Homes In-Home Day Care	Unknown
Special Provider Attributes (e.g., hours of service	NO	NO	---	Unknown
Geographic Areas	YES	YES	Dollars allocated statewide & to Planning areas.	Unknown
Dollars Allocated for Child Care Service	YES	YES	$5,540,000	37% increase

Planned Organizational Changes: None specified.

3-4 UTILIZATION/IMPLEMENTATION:

While the plan specified an increase in the number of children to be served and the dollars allocated for child care, the transition to the population categories eligible under Title XX will result in the discontinuation of free day care services for 800 children who had previously been eligible on a geographical group basis. On the other hand, 400-500 children on a low income day care waiting list have now been determined eligible because of additional funding.

4. EVALUATION

4-1 ORGANIZATION

The Social Services Bureau undertook an evaluation of Day Care. The evaluation, which was completed in approximately eight man months, was conducted by the Program Development and Evaluation Section.

4-2 ACTIVITIES AND PROCESS

The day care evaluation addressed itself to identifying 1) The extent to which Family and Child Welfare Service Manual policies were being followed, 2) The extent to which agency performance meets the standards of the Child Welfare League of America, and 3) Whether the state provides services in accordance with federal regulations.

Data for the evaluation was obtained from day care home case records and day care children's case records. The review team used 181 day care home records and 261 children's records. It was assumed that the records reflect the performance of workers in the field and that the Family and Child Welfare Services Manual policies and procedures represented the standard of quality.

4-3 RESULTS

The evaluation resulted in a report specifying findings, by district, for: Day Care Home Recruitment, Day Care Home certification, Day Care Home Training, Day Care Home Supervision, Day Care Accounting Procedures, Eligibility for Day Care Services, and Casework Services. A series of recommendations were developed on the basis of the findings.

Many of the findings were incorporated in the rewrite of the Day Care chapters of the state manual. Some of the findings will not be utilized because of insufficient staff.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

The state Social Services Bureau has contracted with an outside agency to provide I & R. The service provides information and referral for all social services including child care. I & R is also provided by the district offices and local offices. In addition to I & R workers, SAU-WIN staff, social service workers, income maintenance workers, and voluntary agencies were reported to be involved in I & R.

5-2 PROCESS

Assembling Information: Generally, information on centers is assembled and updated by the State Bureau of Social Services. In Tucson the updating for homes was accomplished by the district licensing and certification unit.

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	Yes	Yearly	Yes	Yes	Yes	Yes
Homes	Yes	Yearly	Yes	Yes	Yes	Yes
In-Home	No	--	--	--	--	--

Disseminating Information: Media ads, word-of-mouth, intake interviews, and information provided by contracted Centers are the main methods of making the community aware of child day care services. There is no organized outreach program.

Assessing Client Need/Referral and Follow-up: Workers at the local level assess client needs based on a child's age, personality, family composition, and cost. Parents participate in the assessment and ultimately are involved in making the final choice of a service for their children.

Once the assessment is complete the parent makes his/her own arrangements with the provider. Follow-up consists of a call either to the provider or parent.

5-3 RESULTS

No results were available statewide or for the local site visited.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are established at the State level by the Social Services Bureau. Direct implementation, from the securing of applications through the determination of eligibility, is the responsibility of local service workers.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non WIN
- SSI
- CWS, for protective service (CWS) clients, the income eligibility ceiling was set at 115% SMI, with fees charged for those earning between 80 and 115% SMI. Subsequent to the site visit, the income ceiling for protective service clients was eliminated and CWS clients are now eligible without regard to income.

- Income eligibles, defined as:
  - free care for families earning up to 61% ($707/mo. for a family of 4) of the state median income.
  - full cost to families earning over 61% of the state median income.

Revisions Since the Passage of Title XX: There has been a phase out of the state low income and geographical group day care categories. Income eligibles were added. It was reported that in April, 1976 the income level for eligibility will be raised to 75% of the state median income.

Materials to Ensure Uniform Interpretations: guides have been developed and distributed.

6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the State and covering family information and verification methods, are in use throughout the state.

Applications are secured at the local DES Office by the Social Service Case Worker. Supervisors of Case Workers determine that all applications are fully and accurately completed.

It was reported that 5926 applications were received for the period October through December, 1975. State personnel estimated that 34% of the applications were for child care services.

Eligibility Determination and Verification: Previous to Title XX, economically depressed areas were designated in Arizona and the children of parents living within the area boundaries qualified for free day care. With the implementation of Title XX child care services have had to be made available on a statewide basis and to families eligible under federal guidelines.

The eligibility determination is made at the local level by Social Service Workers. If the client is a welfare recipient, this fact is verified by checking the AFDC files. The incomes of working clients are verified against pay stubs. Arizona's evaluation study however, reported that "case records frequently omitted factual information pertaining to a client's place of employment, income received and/or verification of the above information."

Time lapse between application and completion of the eligibility determination process ranges from 1 to 30 days. The delivery of service does not begin until the client is determined to be eligible.

Quality Control: It was reported that quality control procedures are currently being developed. The state has requested that staffing for purposes of quality control be increased.

Redetermination of Eligibility: Redetermination of eligibility is supposed to occur quarterly, but it was reported that the state finds it difficult to redetermine eligibility on a continuing basis and that frequently no specific attention is directed toward the redetermination. Redocumentation is required at the time of redetermination.

Appeals: Clients have access to an appeal procedure. For the period of October through December 1975, it was reported that 7 clients filed appeals.

6-4 PARENT FEES

No parent fees are charged.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Department of Health is responsible for the development and enforcement of standards for all Public-Private Day Care Centers. The Social Services Bureau is responsible for the development and enforcement of standards for all Family Day Care Homes. The State Fire Marshal, local Fire Departments, local Health Departments, and local zoning boards, are also involved in the licensing process.

A license is not required for Day Care Homes or in-home day care, but they must be certified by a local Social Services Office.

The licensing function of the State Department of Health is organized within a special Licensing Section under the authority of the Department's Division of Planning and Resources. State level workers are responsible for assessing centers and for the issuance of licenses.

The licensing function for child caring institutions and child placing agencies of the Social Service Bureau is organized within a special Licensing Unit. Local workers are responsible for assessing day care homes and in-home providers before the issuance of the certification.

Staffing: There are 5 licensing workers within the State Department of Health, who spend about 70% of their time licensing child day care centers. The balance of their time is devoted to monitoring for licensing compliance, providing technical assistance to providers, dispensing information on licensing requirements to the community, and inspecting nursing homes.

All licensing workers are authorized to recommend license denials and revocations, with final authority vested in the State Health Department's Licensing Section. Qualifications for employment include health care institution experience as a health surveyor. Currently, it is proposed that applicants must have a B.A. in Home Economics, Child Psychology, or Early Child Development. On-the-job training is just beginning.

The number of workers allocated statewide to certifying day care homes was not specified. At the local site visited it was reported that three workers were assigned who spend approximately 50% of their time certifying Family Day Care Homes. The balance of the time is spent recruiting Family Day Care Home providers, responding to placement requests from case workers, monitoring of program content and certification compliance. All workers are authorized to recommend certification denials and revocations with final authority vested in the Supervisor. The minimum educational background for certification workers is a B.A. in social work, education, psychology, or early childhood development. On the job training is provided and staff members are encouraged to attend relevant seminars and workshops on their own.

7-2 STANDARDS

Standards Development Process: The minimum standards for Public-Private Day Care Centers were updated in June of 1973. The standards were developed by a statewide Ad Hoc Committee which operated in conjunction with the state Department of Health. The Ad Hoc Committee, comprised of 40 members, drafted the standards, and the staff of the Department of Health Services held two public hearings prior to the adoption of the standards by the Director of the Department.

The minimum standards for Family Day Care Homes were updated in September, 1973. The standards were developed by the staff of The Social Services Bureau, with input from providers and local social service staff.

Content of Standards:

Staff:child Ratios

Centers:

	Ages	Ratios
Public-Private	Infants to 15 months	8:1
	15 months to 3 yrs.	10:1
	3 year olds	15:1
	4 year olds	20:1
	5 year and older	25:1

A minimum of 2 staff members is required whenever the number on the premises exceeds 10.

Group Day Care Homes: THIS CATEGORY NOT UTILIZED.

Family Day Care Homes:

No more than four unrelated to day care home providers

5:1 ratio when there are 2 children under 2
6:1 ratio for children ages 3-14

Additional Components of Standards: Standards for both centers and homes cover health, facilities (including zoning ordinances, local building codes, and local fire department codes), sanitation, transportation, and food service. The State Health Department also sets standards for infant care including requirements for adult supervision, health and sanitation, and furnishings.

Comparison of Standards with FIDCR: For centers, Arizona's staff: child ratios are much less stringent than those specified by FIDCR for every age group. The staff:child ratio for homes matches FIDCR.

State personnel reported that standards exceed FIDCR in the areas of the physical plant and environment. They felt that fire and sanitation standards for day care centers were particularly important.

Health Department personnel stated that the FIDCR staffing standards are too ideal for state agencies and are not realistic for non-subsidized parents.

Arizona does not mandate compliance with FIDCR; consequently, there is no separate FIDCR certification process.

7-3 SUMMARY OF LICENSING ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total#	#Sanctioned	%Disq.	Planned	Actual
Public Centers (Non Profit)	License	100	100	UNK	Annual	Annual
Private Centers (Proprietory)	License	350	350	UNK	Annual	Annual
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	Certification	623	623	UNK	Annual	Annual
Relative In-home	Certification	UNK	35	UNK	Annual	Annual
In-home						

It was reported that virtually all Day Care Centers and Family Day Care Homes that provide services to eligible parents, were licensed or certified.

Fees for Licenses: There is a $25 fee for day care centers. No fees are charged for home or in-home certification.

Content of License: The license for Day Care Centers includes 1) Date of Issue, 2) Expiration date, 3) Maximum number of children to be served, 4) Age range of children, 5) Category of license and limitations, and 6) Infant requirements. The certification for homes includes all of the above except age range of children and infant requirements.

7-4 LICENSING PROCESS

Areas of Investigation: For Family Day Care Homes, a certification study covers:

(1) Physical characteristics of the home
(2) Provider characteristics
(3) Provisions for educational and nutritional components
(4) Verification that children have had medical clearances
(5) Provisions for handling sick children
(6) State Day Care Agreement

For Day Care Centers, a licensing study covers:

(1) Physical characteristics of the facility
(2) Moral character of staff
(3) Food handling
(4) The health component (minimal)
(5) The extent of parent involvement (limited)
(6) Records, sanitation and fire regulations

Extent and Nature of Process: All known providers must be licensed or certified.

In order to complete a licensing study of a Day Care Center, the Health Department may make as many as four visits, including a follow-up study. To complete a certification study of a Family Day Care Home, the local Social Service Office's Certification unit, generally makes 1 visit to the home.

The approximate time lapse between the initial study of a Public of Private Day Care Center and the actual receipt of a license is from 30 to 60 days. For a Family Day Care Home, the time period is 30 days.

Delays in the issuance of either a certification or license include such problems as submitting applications late, inadequacy of initial plans, and medical clearances.

Conditional Licenses: For Day Care Centers, a provisional license may be issued for upgrading the physical plant, completion of required construction and maintenance, implementation of Health Department Standards, and upgrading of record keeping and staffing. The provider may only operate for 90 days with the provisional license. For Family Day Care Homes, there are no provisions for a conditional certificate.

Revocations: Providers are notified by letter of areas of noncompliance, and are given time to make corrections. They are informed of their right to a fair hearing and can appeal the outcome. One day care center license has been revoked by the Health Department in the past year. The local Social Services Office has revoked the certification of four homes during the fiscal year 74-75.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Health Department's health surveyors are responsible for monitoring centers for licensing compliance. Day Care monitors, within the Social Service Bureau, are responsible for monitoring centers for complaince with provider agreements as well as program content.

The state Health Department employs five health surveyors. The state Social Services Bureau employs two day care monitors. In addition, there are 27 social service workers at the local level who visit day care centers and homes where eligible children are placed. Local staff also visit in-home providers. The visits are to determine the child's adjustment in day care and provide casework services to the child or other family members. They are not at centers or homes to determine compliance with standards or provider agreements. When a violation is observed, this will be reported to the Department of Health Services Licensing Unit or to the DES local office certification staff.

Caseloads of 60-75 per social service worker were deemed ideal but would require a staff increase.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	State Health Department	70% (Health Department)	UNK (Health Department)		Quarterly	1 hr/unit (Health Dept.)
Private Centers	State staff from soc. serv. bureau local staff - (field services)	61% (State soc. serv. bureau) & local staff	100% (State Social Services Bureau) and local staff			3 hrs/unit (soc. serv. bureau) (1 hr. local staff)
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	Local Social Services staff	100%	100%	--	Quarterly	1 hr/unit
In-Home	Local Social Services staff	100%	100%	--	Quarterly	1 hr/unit

8-3 PROCESS

In the monitoring of day care centers, the Health Surveyors use three Department of Health forms: (1) Environmental Sanitation Report for Child Day Care Agencies, (2) Fire Inspection Report for Child Care Agencies, and (3) Report on Licensing Status of Child Care Agencies.

The Social Service Bureau Day Care Monitors use a single monitoring form. The form is used in monitoring program content for day care centers.

When non-compliance is found both the Health Surveyors and the Day Care Monitors follow the same basic steps. First, the provider is informed about the areas of non-compliance. Then a target date is set for achieving compliance. Finally, follow-up visits are made. The State system calls for follow-up visits to be made within six months after the provider has been given a target date for compliance.

Generally, follow-up consists of consultation with the provider as well as technical assistance in the form of seminars, workshops, and films.

In Tucson, the monitoring staff uses a monthly bulletin to inform providers and parents about various day care issues that surface through monitoring.

8-4 RESULTS

Department of Health personnel reported that 15% of the Day Care Centers monitored were not in compliance with licensing standards.

The local social services office visited reported that all Family Day Care Homes were "in good shape." Of the in-home care providers monitored none were reported as being out of compliance.

It was reported that the major areas of non-compliance were staff: child ratios and health requirements. It should be noted that "compliance" refers to compliance with state standards, not FIDCR.

9. TRAINING & TECHNICAL ASSISTANCE

9-1 ORGANIZATION & LEVEL OF EFFORT

State: The state Social Services Bureau has primary responsibility for T & TA activities in relation to child care.

The state Day Care Consultant is responsible for training of day care staff. This consists of orientation and teaching for staff at the state, district, and local levels. The training is provided through a separate Training Office within the Internal Relations Bureau. Approximately 5% of the day care consultant's time is spent in providing training.

In addition, it was reported that approximately 60% of the Day Care Consultant's time is spent in providing TA to both district and local personnel as well as to providers. Assistance is also given to Boards and various statewide associations who are in the process of planning day care facilities.

In addition to the state Day Care Consultant, the state Day Care Monitors were identified as involved in T & TA to day care centers.

There is no budget breakdown for training and technical assistance.

Local: It was specified that district consultants and personnel in local offices were involved in TA. The District Consultants provide TA primarily to local staffs while local personnel provide TA primarily to Family Day Care Homes.

TA for centers is provided primarily through a staff person within the State Department of Health.

Staff Background: The state day care consultant has a Master's in social work and child welfare related experience. The day care monitors have a B.A. or B.S. and a background in day care.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amt.
State Day Care Consultant	Regional Office	Instruction and interpretation of federal policy	UNK
State Child Care Staff, District Personnel, and Local Personnel	State Day Care Consultant	Training program through office of training; seminars, workshops, orientation, and teaching, conerning childcare	UNK
District and local staff	State Day Care Consultant	Site visits on multiple problems	UNK
Local Staff	District Consultants	Site visits on multiple problems	UNK

Provider Training and Assistance

To Whom	By Whom	Description	Amt.
Day Care Home Providers	Local Staff and Community Resources	Individual and group training	UNK
Day Care Home Providers	State Day Care Consultant, State Monitoring workers, Local staff	Site visits on multiple problems, care of children; dept. requirements	UNK
Day Care Centers	Department of Health	Site visits - care of children; dept. requirements	UNK

9-3 PROCESS

The methods used to identify T & TA needs include observation and subjective evaluation of statewide child care needs, reports from the Department of Health's licensing staff, Day Care Consultant's review of case records, problems identified during the monitoring process, and notices of complaint filed against providers.

It was reported that providers and the Licensing and Certification staffs of the Health Department and local Social Service Offices have the greatest need for T & TA.

The content of T & TA generally revolves around program content that enhances the growth and development of children, child care regulations, and record keeping at both the staff and provider level.

T & TA is provided through a variety of methods including site visits, demonstration workshops, problem related seminars, and community involvement.

9-4 RESULTS

It was reported that the results of T & TA are difficult to measure. It was noted that districts and localities that have been given T & TA are performing "better" than those which have not been visited.

In general it is felt that the state is doing an adequate job considering the lack of adequate personnel and time to cover the state.

9-5 PRINTED MATERIALS

None specified.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State: Fiscal management is performed by the Bureau of Financial Management within a separate division of the Department of Economic Security. The Bureau provides fiscal support for all social services including child care.

Local: There are accounting clerks in local Social Services offices in the two larger districts. These units are responsible for forwarding to the State Welfare Accounting Office the payrolls for authorized purchase of Day Care.

Functions: The state fiscal bureau is responsible for preparation of the social services budget, for quarterly estimates of expenditures, federal budget reports, setting rates based on expenditures, and publishing projections of yearly cost.

10-2 FISCAL MATERIALS

The full complement of required resource materials have been developed and are regularly used. Most materials were developed by the Social Services Bureau. Rate schedules were developed by the Bureau of Financial Management and Social Services Bureau as were billing forms and child care attendance forms. It was reported that the developed materials are adequate, but a continuing effort is being made to improve all materials in use. Except for one item, the materials were rated from good to excellent.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	$3,503,314 (83%)	$5,540,000 (100%)
WIN	$697,670 (17%)	
CWS	0	0
Unmatched State Funds	0	0
Other	0	0
TOTAL	$4,202,984 (100%)	$5,540,000 (100%)

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service Contracted Facilities	$4,202,984
Vendor-Paid Facilities	-0-
Direct Provision/Operation	-0-
Client Purchase With Social Service Reimbursement	-0-
TOTAL	$4,202,984

Description of Funding Methods/Processes:

A. Purchase of Service: Currently services are purchased from contracted Day Care Centers, certified Family Day Care Homes, and In-home Care providers. Provider agreements are required for all purchased services. Vendor payments are used for medicals.

Contract management was performed by the Office for Grants and Contracts Administration and the Bureau of Financial Management. Currently, contract management is performed within the Social Services Bureau. No large scale subcontracting is undertaken. Quality control procedures include verifying invoices against the budget, eligibility review, audits of all phases of child care quarterly, and provider audits every six months.

The State averages ten working days per month processing provider invoices. In the event of an overpayment, the provider is notified by mail or phone to return a check for the amount of overpayment prior to submitting the next invoice. TA is provided to insure that continuing errors do not occur.

B. Direct Provision: NONE

C. Client Purchase: NONE

10-5 RATE ESTABLISHMENT

Unit of Measurement: per hour

Provider Type	Rates		
	Basis	Average	Range
Public Centers	Rate established by DES	N/A	To 4 hrs - $2.50 5 hrs - over 5.50 6.50*
Private Centers			
Family Day Care Homes	Rate established by DES	N/A	To 4 hrs - $2.00 5 hrs - over 3.60 4.50** 6.00***
Group Day Care Homes	THIS CATEGORY NOT UTILIZED		
In-Home	Rate established by DES	N/A	Same as Family Day Care Homes

* When parent works a 12-13 hour day on a three day work schedule the rate paid to provider is $6.50.

** When parent has a 9-11 hour work day the rate paid to provider is $4.50.

*** When parent has a 12-13 hour work day on a three day work schedule the rate paid to provider is $6.00.

10-6 IN-HOME CARE

In-home providers are paid $2.00 up to 4 hours and $3.60 for 5 hours or more. There are special rates for providers who serve children for more than 9 hours.

10-7 INCOME ELIGIBLES AND PARENT FEES

Persons earning up to 61% of SMI are eligible for free day care. The client must pay the full cost of service above 61% of the median. In April, 1976 the income level for free services will change from 61% to 75% SMI.

10-8 DONATIONS

Total donations received from both public and private sources was $323,400. The donated funds was contributed by United Way, Save a Child League, The City of Tucson, and Ecumenical Church Groups.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Social and Rehabilitative Services (SRS) is the designated state services agency. It is comprised of five program divisions, each headed by a commissioner and a deputy.

Responsibility for all child day care program areas is vested in the Social Services Division (SSD) of the Department of SRS. Three of its four sections (Program Development, Field Operations, and Administrative Services) are directly involved in child day care management. The Program Development Section has responsibility for developing program content for all social services with a consultant responsible for each particular social service component area. The Child Day Care Consultant has overall responsibility for the state's child day care program.

In addition, the State Child Care Facility Review Board, a citizen's committee appointed by the Governor, reviews licensing studies for final licensing approval, grants licenses, makes the final decision on revocations, and hears and makes final decisions on appeals from providers.

The Administrative Services Section provides fiscal support for all social services including child care. Its functions are non-programmatic and are limited to processing invoices and making voucher payments. Program allocation decisions are handled by the various component heads in the Program Development Section.

Day care licensing is the responsibility of the Social Services Division (SSD); Regional SSD Offices are responsible for implementing licensing procedures through child care specialists located in the regional offices.

A centralized departmental support unit - Monitoring and Evaluation, is also involved in managing child day care services. It has specific responsibility for monitoring and evaluating all social services including child day care.

The state is divided into eight regions, each headed by a Regional Administrator and a Deputy. Most regions have two or three child care specialists who devote most of their time to child day care licensing and the delivery of child day care related training and technical assistance. Most counties have SSD Offices where social service specialists handle direct services delivery to clients.

The Arkansas site visit was conducted in January. Interviews were held with state officials and with local officials in Jefferson County.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures* FY 74-75	Allocations* FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$9,741,806	$12,339,589**
Total Child Care Funds	Approx. 2,900,000	$11,388,400**
Percentage of Total Social Services Funds Allocated to Child Care	30%	42%

*The lower dollar expenditures for FY '75 reflects the fact that the state, due to contract implementation difficulties, was unable to spend its full allocation for all social services including child day care. The figures indicated for FY '76 represent funds budgeted for anticipated expenditure during the current fiscal year under the assumption that contract implementation problems will have been resolved.

**The figures given are projected for a 12-month fiscal year from a 9-month base.

"Total Child Care Funds" includes some services for the handicapped and indirect services (i.e., counseling).

State resources allocated to child day care, in addition to Title XX funds, include monies from WIN and CWS for a total child care allocation of $12,933,400.

The number of FTE involved in the provision of child day care services at the state level is approximately 24 FTE. The proportion of total social service staff time allocated to child care is not available.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children (per)	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	578	2,800	No breakdown of expenditures by provider type is available.	
Private Centers				
Group Day Care Homes	980	1,200		
Family Day Care Homes				
In-home Care	unknown	436		
TOTAL	1,558	4,436	approx. $2,900,000	$12,933,400

*Includes all licensed, approved or otherwise sanctioned providers

Only WIN program participants are eligible for in-home care.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	Family	local
Standardized social service forms	yes	Family	state and local
Computerized records	yes	Family	state

Extent of Data: At the time of the Arkansas site visit, child care client and service data had been computerized, but print-outs were not available. However, when state officials were contacted recently, they indicated that the full complement of data elements had been computerized in the interim. Narrative social service records contain complete information on client identifiers, goal data, and eligibility status; and partial data on services delivery and demographic descriptors. They contain minimal information on service costs required for the federal reporting system.

Data Aggregation: At the time of the site visit, the state's computerized information system was operational, but revisions were being made to meet federal reporting requirements. Subsequent to the visit, the computer system was revised to reflect all Title XX requirements. State officials said that aggregation of the data occurs only at the state level, where it is highly accessible through the state's information system. This computerized system generates monthly reports showing the number of children served and the dollars expended, by each county, for child care.

The state information system has been revised to reflect the goal structure and data requirements of Title XX, and no problems in completing the Social Service Reporting Requirements are anticipated.

1-5 STATUTES

Other than licensing regulations, only local zoning, fire and health ordinances impact child day care operations.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

For FY '76, no state funds were collected to match federal funds for child care. A tax appropriation of $500,000 had been made in early 1975 but not enough revenues were collected, at which time the legislature decided to cancel the entire appropriation for the fiscal year. For child care matching funds, Arkansas has thus far relied upon donations from city and county governments and from private civic groups.

As a result of public hearings on the Title XX plan, the state increased client eligibility to 79% of the state's median income; but at the time of the site visit, they could only serve clients up to 45% of median income, the pre-Title XX cut-off point. The rationale for this practice was to ensure that sufficient funds were available first for top priority groups (AFDC-WIN, AFDC non-WIN). If funds proved to be adequate, state officials hoped to raise the cut-off point for income eligibility toward its promised level. Since the site visit, service to eligibles up to 79% of the median has taken place on a limited basis, using a waiting list as funds and openings become available.

According to state officials, the strength of their child care delivery system is the versatility of its staff at all three levels (county, region and state) and the working relationship that exists on and among all levels. For example, Regional Child Care Specialists, besides conducting actual licensing studies, are capable of providing training and technical assistance in almost any substantive area of child day care management. In addition, state officals stressed the fact that the State Child Care Consultant serves as a multi-purpose resource on all aspects of the child day care delivery system.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: A limited Title XX child day care needs assessment was conducted by the state Child Care Consultant. No previous child day care needs assessments had been conducted.

Staffing: Twenty person-days were allocated to this task.

2-2 PROCESS

Scope: The assessment covered client needs by child age groups and population categories; services availability was not included. It was completed as a special study independent of other social services.

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Utilized Extensively	Extracted data and made projections based on 1970 census data on age groupings and income.
Agency Personnel	Utilized to some extent	Regional Child Care Specialists supplied information on the respective child care needs in their area.
Community Agencies	Not Utilized	---
Service Providers	Not Utilized	---
Consumers	Not Utilized	---
General Public	Not Utilized	---

2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated in Relation to:

- Child population categories by age
- Total number of clients to be served by population group (i.e., AFDC and AFDC-WIN)
- Need by geographic area

Degree of Integration into Planning Process: As a result of the needs estimate, the number of clients to be served during the Title XX program year increased by 3,648 over the previous year.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: Before Title XX there was a single planning unit for the Department of SRS.

Title XX Planning: For Title XX, the SRS planning Unit was split up. One section was transferred to the Social Services Division, the other section continued to service the remaining four departmental program divisions. The new Social Service Division unit was headed by the Division Commissioner and three full-time planners on staff, and was given full responsibility for Title XX planning.

Staffing: An estimated 20 person-days were spent in child care planning.

3-2 PLANNING PROCESS

Assignments of tasks were made by the Division Commissioner. There were separate planning sessions for child care. The child care consultant was requested to present a statewide needs assessment.

Services were confined to specific tasks for developing:

- A definition of services by type and dollar allocation
- Revision of policy manuals
- A training plan for field staff, particularly licensing workers
- Processes and policies for securing contracts with providers.

WIN, Title IV-B, and Title XX child care planning efforts were interfaced because the same personnel were responsible for planning these programs. Public hearings on the Plan were held throughout the state. The chief result of these meetings was that income eligibility criteria were expanded from 45% to 79% of the state's median income. In short, state officials felt that the process was highly exacting and would provide a sound foundation for future social planning efforts.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison*
Total Number to be served	yes	yes	5,848 children	165% more
Population Categories to be served	yes	yes	AFDC, SSI, Medicaid, income eligibles, children needing protective services	more*
Priority Population Categories	yes	yes	1. AFDC-non-WIN; AFDC-WIN; 2. Income elig's; SSI; Medicaid; & children needing protective care	same
Service Provider Types	yes	no	Centers, FDCH's, Group Day Care Homes, In-home care	N/A
Special Provider Attributes (e.g., hours of service)	yes	yes	hours of service	N/A
Geographic Areas	yes	yes	Allocations by regions (8)	same
Dollars Allocated for Child Care Service	yes	yes	$11,388,400	293% more

*The state had not yet implemented the proposed increase in income eligibles served.

Planned Organizational Changes: The organizational chart for the Department of SRS was revamped as a result of planning. Major changes involved: (1) placing regions in a functional line under the State Programs Development Section rather than under the SSD Commissioner; (2) Child day care training and technical assistance activities previously conducted by the Department of SRS Office of Child Development (which was phased out just prior to Title XX planning), were reassigned to staff in the state Field Operations Section and to Regional Child Care Specialists.

The state feels that by placing greater responsibility for these selected management tasks on non-programmatic and regional staff, state administrators will be more able to handle the increased workload created by the increased allocation for child care.

3-4 UTILIZATION/IMPLEMENTATION

As a result of the needs assessment and public hearings, the income eligibility cut-off point was officially set at 79% of the state median income (approximately $737/month for a family of four). However, this has not been implemented yet. No one currently earning over 45% of the state median income (approximately $438/month for a family of four), the pre-Title XX cut-off point for income eligibility, is being served. State officials insist that once they are certain that they are capable of serving the other priority population groups, they will serve income eligibles as planned. Since the site visit, the state has begun serving eligibles up to 79% of the state median on a limited basis by using a waiting list and placing clients as openings are available.

4. EVALUATION

No child day care evaluations have been conducted.

The State has an Evaluation Unit that is in the process of organizing a capability for evaluations and monitoring. The major effort to date has been in developing and field testing a monitoring instrument. (For more information, see the Monitoring section.)

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

While information and referral services are available throughout the state, there is no specific unit labelled Information and Referral. Instead, a uniform system for providing information and referral has been developed in all the state's counties. County Social Service Specialists are responsible for making referrals based on information compiled at the regional level. Child care information and referral is also provided by SAU-WIN staff, income maintenance workers, and local voluntary agencies.

5-2 PROCESS

Assembling Information: The state Department of SRS assembles information on centers and homes for annual distribution to regions and counties. The DSRS also has a computerized system which prints out all providers alphabetically by region and by county. The print-outs are now made available to the regions and the counties. The system is up-dated monthly and print-outs made on a regular basis.

In addition, Regional Child Care Specialists assemble information on all providers within their region annually. This information is also sent to the counties and the state.

Provider Type	Systematized	Freq. of Updates*	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	monthly	yes	yes	no	no
Group Homes	yes	monthly	yes	yes	no	no
Family Day Care Homes	yes	monthly	yes	no	no	no
In-home	N/A	monthly	yes	no	no	no

*Applies to state only; regions are systematized and have annual updates.

Disseminating Information: Word of mouth, service announcements in newspapers, and provider advertisements are the ways that clients beome aware of available services. The state believes that most child day care clients go directly to the county income maintenance unit with their service problems; consequently, no systematic outreach program has been developed.

Assessing Client Need/Referral and Follow-up: County Social Service Specialists conduct the client needs assessment for all services, including child care. The Specialist fills out the application form with the parent, tells the parent what is available, based on child's age, hours care is needed, provider location and type of care required. The parent makes the final selection from this group. Approximately one hour is needed to complete this process.

The Specialist is the only person the client has contact with throughout the process.

Follow-up is not formalized. But since the provider is contacted by the Specialist in the process of the referral (for availability), the Specialist is usually notified by the provider if the client fails to appear or place the child.

5-3 RESULTS

No figures on the volume of child care referrals are available.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility regulations are established by the Social Services Division's Child Care Services and Policy and Manuals Consultants, both operating out of the state office. Direct implementation, from the securing of applications through the determination of eligibility, is primarily the responsibility of county Social Services Specialists.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC non-WIN
- AFDC WIN
- Title IV-B children and other children needing protective services
- Medicaid
- SSI
- Income eligibles, defined officially as anyone whose gross income does not exceed 79% of the state's median income adjusted for family size ($737/month for a family of four).

However, because of the state's concern that other priority populations be served first, the actual cut-off point was maintained at its pre-Title XX level at the time of the site visit:

- 45% of the state's median income ($438/month for a family of four). Since the site visit, this has been expanded (on a limited basis) to the intended 79%. No sliding fee scale is used; thus, child care is free for all those whose earnings do not exceed the qualifying income level.

The following population priorities apply:

1. AFDC-WIN, AFDC-non-WIN
2. Income eligibles, Title IV-B and other children needing protective services; SSI and Medicaid recipients.

No additional qualifying conditions are required for child day care eligibility.

Revisions Since the Passage of Title XX: Income eligibility requirements were officially expanded from 45% of the state's median income to 79% as a result of public hearings on the plan. However, this has been implemented on a limited basis (see above)

Materials to Ensure Uniform Interpretations: No guides have been developed to assist Social Service Specialists to determine eligibility under Title XX, because state officials feel that written policy statements are sufficiently precise.

6-3 PROCESS AND VOLUME

Applications: Each region has developed its own application forms based on state policy.

Applications are secured by the County Social Service Specialist in the course of personal interviews with the applicant.

In FY '75, 33,386 applications were received for all social services. About 4,000 of these (12%) were for child day care services. No FTE estimates are available.

Eligibility Determination and Verification: The responsibility for eligibility determination lies with the local social services specialist. Documentation of income eligible status is done from payroll check stubs or by contacting the employer. ADC client status is verified through a cross-check of income maintenance records.

According to regulations, the determination process cannot last more than 30 days. On the average, it consumes 10 days. A client can't receive services until the process has been completed. Follow-up procedures consist of random spot-checks (e.g., one in ten; sometimes one in twenty) of recipient documents.

Of the 4,000 applicants for child day care in FY '75, the total found ineligible was approximately 1,400 (35%), while the eligible total was about 2,600 (65%).

Quality Control: The State has a Quality Control Unit that checks the eligibility determination process by annual visits to all counties, where cases are randomly selected and checked for procedural accuracy.

Redetermination of Eligibility: Eligibility is redetermined every six months. Income and employment/training are verified. A client found ineligible at this point is terminated. This can be the result of an income increase, termination of employment or training, or an assessment that protective services are no longer needed.

Appeals: Clients, when found ineligible, are notified of appeal procedures. These consist of fair hearings by a team from the State Field Operations Unit. No appeals have been made in the past year.

6-4 PARENT FEES

There is no fee schedule. At the time of the site visit, child care was provided without charge to all eligibles whose incomes did not exceed 45% of the state median income. Since then, some service has begun to those clients with incomes below the planned level (79% or less than the state median). Currently, service to these groups is expanding as money and space become available.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Social Services Division is responsible for the development of licensing standards, while the Regional SSD offices have responsibility for the implementation of licensing procedures. Licensing and enforcement are conducted by Regional Child Care Specialists, who service all provider types except in-home providers. They are responsible for the licensure of all family day care homes serving five or more unrelated children with one or more FFP-eligibles present and the approval of homes serving at least one FFP-eligible and having four or fewer unrelated children. Licensure includes inspection by local health, fire and zoning departments; however, state fire and health personnel are utilized if no local personnel are available (usually in rural areas).

In-home providers serving FFP-eligibles are not licensed; instead, a county Social Service Specialist issues an approval notice.

Staffing: There are sixteen Child Care Specialists (an average of two per region) who spend about 30-40% of their time licensing day care facilities. They spend the rest of their time providing training and technical assistance to providers. These specialists make a referral to the State Child Care Facility Review Board which makes the final determination on issuance or revocation of licenses. The Child Care Specialists are required to have education or experience reflecting a child development orientation.

7-2 STANDARDS

Licensing standards for all provider types were last updated in November 1975 and are updated every two years. First the Programs Development Section in the Social Services Division prepared draft standards with input from selected provider organizations. The draft is reviewed by the State Review Board. The Program Development Section then prepared the final copy of the updated standards.

Recently, the state legislature became involved in the standards development process by deciding that family day care homes are required to become licensed or approved only when they serve FFP-eligibles or more than six children. Part of the rationale for this measure was that legislators felt that family day care homes with less than six children "were not businesses."

Content of Standards:

Staff-Child Ratios

	Ages	Ratios
Centers:	0-2	1:6
	2-3	1:12
	3-4	1:15
	4-6	1:18
	6-14	1:18
Group Day Care Homes:	0-3	Not permitted in group day care homes
	3-4	1:5
	4-6	1:5
	6-14	1:6

Family Day Care Homes: A 1:6 ratio if less than 2 infants are present; a 1:5 ratio if two infants are present. (No more than 2 infants may be enrolled.)

These numbers include the day care provider's own children.

Additional Components of the Standards:

- Health
- Safety
- Education
- Facilities
- Nutrition
- Administration

Only the standards for centers include the following components:

- Transportation
- Special requirements for infant care

The state standards for in-home care cover the stability, fitness and health of the caretaker only.

Comparison of Standards and FIDCR: State standards for safety, health, facilities and nutrition are more specific than FIDCR standards. Otherwise, Arkansas has no licensing standards which exceed FIDCR.

A special FIDCR certification process is required of all providers who accept FFP children. These providers all operate under purchase of service contracts. State officials felt that only those providers that are currently contracted are willing to comply with FIDCR. Some state and local interviewees evaluated FIDCR as "unrealistic;" others felt that only the staff-child ratios for children above three years of age were inappropriate. However, they feel FIDCR has produced no apparent increase in the cost of services.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	# Sanctioned	# Disq.	Planned	Actual
Public Centers	License	578	unk.	About 50% of total either drop out or are disqualified	annual	annual
Private Centers	License		unk		annual	annual
Group Day Care Homes	License	980	unk		annual	annual
FDCH's for FFP-eligibles	License		unk		annual	annual
FDCH's for ineligibles	Approval	1200	unk		annual	annual
In-home	Approval	unk	unk		annual	annual

State and Regional personnel both indicated that there are some non-approved in-home providers. They felt, however, that no center or home operates very long without becoming aware of licensing requirement or the state becoming aware of its unlicensed status.

Fees for Licenses: No fees charged.

Content of License: The licenses for day care homes and centers all include:

- Date of issue
- Expiration date
- Maximum number of children to be served
- Age range of children

There is a standard document used to signify approval for in-home providers or family day care homes serving four or fewer unrelated children where there are FFP-eligibles present.

LICENSING PROCESS

Areas of Investigation: A licensing study for all provider types covers:

- Physical characteristics of the facility
- Staff background
- Provisions for an educational component
- Provisions for a nutritional component
- Verification that children have had medical clearances
- Provisions for handling sick children, accidents, etc.
- Verification of records being kept

Extent and Nature of Process: All known providers requiring a license must be licensed. State respondents estimate that about 95% of these have undergone an initial licensing study.

A structured study format is used for licensing centers, group day care homes, and family day care homes serving FFP-eligibles. Homes require an average of two visits, while centers usually require six. Completion of a licensing study varies by provider type with centers requiring up to a month, and homes requiring from three days to three weeks for study completion. Completion delays are usually caused by problems in meeting local health, safety and fire regulations, and in meeting state and/or FIDCR staff ratios and equipment requirements. Except for relicensing, no systematic follow-up is conducted subsequent to initial licensure.

Conditional Licenses: These are issued by the Regional Child Care Specialist and are valid for six months for all provider types. Follow-up visits are mandatory after three months. The provider is given technical assistance in the interim, or is persuaded to qualify for approval rather than licensure by limiting their maximum child capacity to six.

Revocations: Revocations may take place after the Regional Child Care Specialist sends a recommendation to the State Review Board. After an unsuccessful appeal, the Board revokes the license. If the provider continues to operate, the Board may get an injunction preventing the provider from operating.

No licenses have been revoked during the past fiscal year. It is noteworthy, however, that some 50% of all potential licensees are dissuaded from entering business.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Department of SRS Monitoring and Evaluation Unit is responsible for monitoring all social service programs including child care. It reports to the Commissioner of the Social Service Division. The Unit is currently responsible for monitoring private centers and group day care homes for licensing compliance. The unit is newly organized (1975); state officials anticipate that its monitoring responsibilities will be expanded in the near future to include all provider types.

Approximately 3-1/2 FTE participate in social services monitoring. No manpower allocation for child care monitoring alone is available. In addition, state officials felt that since the unit had been operating for a short time, they could not assess the adequacy of its manpower allocations.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored				Av. Time per unit
		of all Sanctioned	of all serving FFP's	of all contracted	Frequency	
Public Centers		Not Slated For Monitoring				
Private Centers	SRS Monitoring & Evaluation Unit	3%	unk	unk	Irregular	6 hours
Group Day Care Homes	SRS Monitoring & Evaluation Unit	0%	0%	0%	--	--
Family Day Care Homes		Not Slated For Monitoring				
In-Home		Not Slated For Monitoring				

Because the Unit's monitoring activities have recently begun, only a limited number of providers have been monitored.

8-3 PROCESS

The areas covered by the current monitoring efforts are:

- Quality of facilities
- Compliance with state and FIDCR licensing standards
- Health and safety requirements
- Staff training and administration
- Nutrition requirements
- Adequacy of record-keeping

No state or local policies have been developed to regulate monitoring practices. While an instrument was developed to guide the monitoring of centers, its development was based on worker discretion rather than formal policy. Similarly, the selection of providers and the scheduling of monitoring visits has been in response to provider problems identified by the Regional Child Care Specialists; providers are not scheduled for visits on a regular basis. Current monitoring efforts are primarily for the purpose of field testing new monitoring instruments. Scheduled site visits are the primary monitoring strategy employed; however, some instruments have been mailed out for self-completion.

8-4 RESULTS

Because the state's monitoring effort is in the embryonic stage, no estimate of the proportion of providers out of compliance with state standards or FIDCR is available, nor have any formal monitoring reports been prepared. However, as a result of data gathered in the monitoring instruments, one center was closed. Based on the limited information gathered, maintaining adequate facilities and meeting state staff and health requirements appear to be the most troublesome areas of provider compliance. No specific follow-up policy exists, but, at a minimum, providers are usually informed about the area(s) of non-compliance.

State staff indicated that by the next program year, they intended to implement systematic monitoring of all providers.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The primary responsibility for providing training and technical assistance rests with the Social Services Division Field Operations Section. It provides training and technical assistance for all departmental social service programs including child day care. Some training and technical assistance is also provided by the Program Development Section's Child Care and Contract Services Consultants.

It is estimated that a combined allocation of 2.5 FTE and $25,000 were utilized for child day care training and technical assistance in FY '75.

Local: Regional Child Care Specialists (two in each of the eight regions) are responsible for providing training and techical assistance in child day care at the local level. Statewide, approximately 6.5 FTE are allocated for this function. Respondents estimated that 40%-50% of their time is spent providing training and technical assistance in child day care. The balance of their time is earmarked for licensing.

Staff Background: Staff at the state level have varied individual backgrounds. The Child Care Consultant has an advanced degree in child development. The Contract Services Consultant and the staff in the Field Operations Section have backgrounds in social work and sociology.

At the regional level, Regional Child Care Specialists' backgrounds are invariably in child development.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State Staff	HEW Regional Office	Seminars in licensing and federal regulations; training in basic management	unknown
Regional Staff	State Field Operations Section and Program Development Section's Child Care Consultant	Providing training on familiarization with Title XX regulations to regional staff	all 8 regions
County Social Service Specialists	Regional Child Care Specialists	Assistance on licensing local providers and clarifying regulations	Quarterly workshops

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers and Homes	State Contract Services Consultant	Assistance on contract procedures and the provider billing process	unknown
Centers Homes In-home providers	Regional Child Care Specialists	Workshops on state nutritional and health requirements and on FIDCR requirements	400 centers (70%) - 6 hours each; 1200 homes (55%) - 1½ hours each; 100 in-home providers - 1½ hrs. each

9-3 PROCESS

Training and technical assistance is usually requested by providers. Otherwise Regional Child Care Specialists, during licensing studies, identify weak areas and offer training and technical assistance. The process is augmented by a letter sent by the state SSD to all providers every other year inquiring about training and technical assistance needs. The Child Care Specialists provide the training and technical assistance, or may request the Field Operations Section for assistance.

Providers were identified as the group needing the most training and technical assistance. Their main areas of difficulty were identified as:

- Administration
- Developing program content
- Developing an adequate nutritional component
- Acquiring appropriate equipment

Site visitations and workshops were identified as the chief methods for providing training and technical assistance. Providers were seen as being highly receptive to training and technical assistance. Many, according to state officials, would request extra workshops on weekends and at night.

9-4 RESULTS

State personnel feel that training and technical assistance needs are being met. Added staff to provide more workshops for providers is seen as desirable but not essential.

Follow-up is always done when an FFP provider operating under a purchase of service contract is involved. Otherwise there is no formalized follow-up. Without training and technical assistance, state staff feels that a substantial proportion of providers would not be able to meet state licensing standards, or FIDCR (for those that contract for FFP children).

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The Administrative Services Section of the Social Services Division provides fiscal support for all of the division's social service programs including child day care. There is no separate fiscal unit for day care.

Local - Local administrative units have no fiscal management responsibility.

Function: The Administrative Service Section functions primarily as an accounting unit. Its chief activities consist of processing invoices and making voucher payments. Consultants within the Program Development Section determine dollar allocations for their respective program area.

10-2 FISCAL MATERIALS

The full array of fiscal materials has been developed. Most were developed by the Child Day Care Consultant. All forms were rated good, with no extremes indicated.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	unk.	$11,388,400
WIN	unk.	565,000
CWS	unk.	980,000
Unmatched State Funds	unk.	- 0 -
Other	unk.	- 0 -
TOTAL	unk.	$12,933,400

County and city government donations, together with foundation grants, comprise the State match for federal funds.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
PURCHASE OF SERVICE Contracted Facilities	Approx. $2,800,000	No breakdown by method of service provision is available
Vendor-paid Facilities	none	
Direct Provision/Operation	100,000*	
Client Purchase with Social Service Reimbursement	none	
TOTAL	Approx. $2,900,000	

* one demonstration project

Total child care expenditures including administrative costs are estimated at $2.98 million.

Description of Funding Methods/Processes:

A. Purchase of Service: All child care services with the exception of one state-operated demonstration facility are purchased by the state. Services procured from homes and centers are secured by contracts containing all required components and are prepared by the SSD Field Operations Section.

In-home care is secured through abbreviated agreement forms called mini-contracts. These contracts are managed by county level Social Service Specialists.

No large scale sub-contracting is currently being undertaken.

The quality control procedures used in paying provider invoices include:

- Audits, although not regularly scheduled, are performed when payment/billing problems arise.
- The state data processing unit submits a summary print-out of service users and providers to the fiscal unit. A comparison check by fiscal personnel reveals any unwarranted service claims.
- As a way of minimizing double payment, the fiscal unit sends providers a payment form for the next month only after the previous month's claim has been paid.
- In the event of an overpayment, the identified overage is deducted from the subsequent payment.

B. Direct Provision: The state operates one facility directly (a day care demonstration project). Payment, quality control, and billing procedures are essentially the same as purchased services.

C. Client Purchase: None.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child day and per child week. A week is 30 hours and a day is six hours. Less than 30 hours a week is considered part-time attendance.

Provider Type	RATES		
	Basis	Average	Range
Public Centers	Actual costs	$4.50	$4 to $6
Private Centers			
Family Day Care Homes	Rates charged other users by same provider	$4.20	$4 to $6
Group Day Care Homes			
In-home	unk.	unk.	unk.

Maximum Rate, if Specified: $6.00 per day per child; $11.36 per day for abused, handicapped or retarded child.

10-6 IN-HOME CARE

Prevailing rates in each community are paid for in-home care. A child's own home relatives may be paid less than the minimum wage. Otherwise the maximum is $18 per child per day. However, most caretakers are relatives so the minimum wage is paid primarily for emergency care.

10-7 INCOME ELIGIBLES AND PARENT FEES

Those falling within the qualifying income level receive free day care; thus no fees are collected. Ineligibles pay the full cost of care.

10-8 DONATIONS

Approximately $200,000 was donated for child day care in FY '75. Most donations came from churches and civic organizations.

OVERVIEW

1-1 ORGANIZATION

Administrative Model: State supervised - county administered for all social services with the exception of child care, which functions under the state administered model through purchase of service contracts.

Description of Administrative Structure: The State of California Health and Welfare Agency is the umbrella agency for all social services. The Department of Health (DOH) within the Health and Welfare Agency is the single state agency for social services. DOH is responsible for all Title XX programs including child day care.

In California there are three departments involved in the management of child day care programs - the State Department of Education (SDE), the Department of Health (DOH) and the Employment Development Department (EDD). The involvement of multiple agencies in child day care management is the result of a series of conflicting state and federal statutes.

California statute assigns responsibility for the administration of California's child care programs to the State Department of Education (California Education Code 16703). However, federal law (Title XX) requires that a single state agency be designated for receipt of all federal social security (Title XX) monies. Child care and other social services are covered by this statute. As stated above, the DOH is the state service agency designated to receive social security monies. The EDD's involvement in the state's child day care program consists of the maintenance and development of day care centers for the children of migrant farmworkers under funds allocated by the Department of Labor.

The apparent discrepancy between federal and state law with regard to the administration of child care has been resolved in California through the use of a series of annual interagency agreements among SDE, DOH, and EDD. The agreement was reached so that SDE can receive federal funds and maintain the authority to administer the child day care program as assigned to it by the state. In effect, the agreement permits DOH to sub-contract to SDE for the delivery and management of most day care services.

The California site visit was conducted in September, 1975, and February, 1976. Interviews were held with state officials and county staff members in Santa Clara, Contra Costa and Santa Barbara counties.

The State Department of Education: The Office of Child Development (OCD), a sub-division of SDE, administers the state's child day care programs. OCD is headed by an Assistant Superintendent of Public Instruction for Child Development Programs.

OCD's management activities include: planning and program development, evaluation, training and technical assistance, accreditation (a form of licensing), monitoring, client eligibility determination and fiscal management.

There are 2 administrative sections assigned to these management tasks:

1. The Field Services Section provides technical assistance, monitoring functions and accreditation to all agencies under contract with SDE. In effect, the accreditation process is equivalent to licensure, having been based upon both FIDCR and state standards. Field Services is divided into two teams, one assigned to the northern part of the state and the other assigned to the southern part, with 14 consultants per team.

2. The Development and Funding Assistance Services Section is responsible for program and regulation development as well as fiscal matters. However, respondents noted that the section is not seen as a fiscal unit, but as a program unit overseeing the fiscal process.

The State Department of Education sub-contracts for the delivery of all child day care services to county welfare departments, city and county school districts, state colleges and universities, and other public and private agencies. Since SDE is itself operating on a sub-contract from DOH, these are, in effect, sub-sub-contracts.

Although the Department of Health has been designated as the official Title XX services agency, the department's role in the management of child day care programs is entirely supervisory in nature, with the Community Services Division of DOH responsible for the various activities.

Within the Community Services Division, the Social Services Division (SSD) has direct responsibility for the child care management function assigned to DOH under the interagency agreement.

The units within the Social Services Division that carry out the activities include:

- Services Operation Section's Adult Services Branch which is responsible for training and technical assistance
- Social Services Planning Branch which is responsible for all social services planning, including child care.

- Social Services Support Branch which is responsible for fiscal control (including review and audit of SDE budget and expenditures) and the development and writing of the interagency agreement.
- Social Services Evaluation Branch which is responsible for monitoring and evaluation.

The Licensing and Certification Division of DOH is responsible for the licensing of non-SDE facilities that care for more than seven children. In California this includes group day care homes (defined as serving between 7-10 children) and centers (defined as serving 10 or more children). Licenses for centers and group homes are issued by the eight district offices with a licensing representative at each district office. This division also provides training and technical assistance to non-SDE providers (those not under contract with SDE).

The Employment Development Department is involved in the management of child care through its responsibility for the maintenance and development of migrant child care centers. The EDD also monitors these same centers.

County: The county welfare departments engage in some direct program operations under sub-contracts managed by SDE. They are currently involved in the provison of information and referral and licensing of family day care homes (with the beginning of FY '77, SDE, rather than the counties, will license all family day care homes under contract to SDE). Prior to January 1, 1976, the county welfare departments were responsible for client eligibility determination for primary clients and for verification of recipient status for clients who had originally contacted an SDE provider agency. Since that date, the directors of child day care service providers were assigned sole responsibility for client eligibility determination with the counties assisting in providing documentation of income eligibility or income maintenance status. Fiscal activities at the county level consist of submitting fiscal reports to SDE quarterly on child care expenditures.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Allocation (Titles IV-A/XX)	$294,855,004	$341,700,000
Total Child Care Allocation (Titles IV-A/XX)	62,500,000	62,500,000
Percentage of Total Social Services Funds Allocated to Child Care	21%	18.3%

The comprehensive Annual Services Program plan (CASP) for California is a 9 month plan (October 1, 1975 - June 30, 1976). Figures shown in the plan for Social Services and Child Care are $256,300,000 and $47,000,000, respectively. These figures have been annualized by multiplying by a factor of 1.33.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number* Sanctioned Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	281	40,870	$55,801,834	$56,403,488
Private Centers	64	8,065	$15,921,322	16,407,565
Group Day Care Homes	18	2,419	659,163	675,950
Contracted Family Day Care Homes	2			
Vendor-paid Family Day Care Homes	UNK	2,879**	4,127,375	4,249,905
In-home Care				
TOTAL		54,233	$76,509,694***	$77,736,908***

* The figures cited refer to the number of providers under prime SDE contract. The actual number of providers is substantially higher because another generation of contracts are let to numerous providers by the originally-contracted provider agencies.

**Includes known figures for FFP children served in vendor-paid family day care homes (on sub, sub-contract through 52 of the counties) and through in-home providers; the actual number is substantially higher and unknown.

***Does not include allocations for the state pre-school program, a part-day child enrichment program which serves an educational rather than a day care function.

NOTE: The provider categories listed in the above chart do not reflect the variety of child day care provider types administered by the SDE. The following description of the six general types of day care service provided in the state is presented to demonstrate the complexity of the state's day care services delivery system:

1) The General Child Development Program includes:

A. Children's centers - Operated at the local level by school districts or a county office of education.

B. Innovative Child Care Programs - These day care programs were started in 1973 as an outgrowth of funding made available by California's Child Development Act (AB99, Chapter 660, 1972). Currently, 192 project sites serving approximately 7,200 children are operating under the AB99 designation for funding. While some of the projects provide care for infants, most serve both pre-school and school-age children. These are operated by school districts or private agencies.

Some examples of the innovative orientation of these programs are the South Lake Tahoe project and Johnnie Tillmon project in Watts which provide round-the-clock child development services to meet the needs of parents who work swing or graveyard shifts. Another approach taken in Sacramento, San Francisco and Riverside is the development of a child care center linked with a network of satellite family day care homes. In general, the two programs are similar to those of other child development programs, providing basic supervision, development services, health services, nutrition and related social services.

C. SDE Direct Contract Centers (Community-Based Centers) - The 282 centers operating under this designation resulted from enactment of the California Welfare Reform Act (SB 796 - Chapter 578, 1971; and AB 282, Chapter 1177, 1972). Administered by the State Department of Education in the same manner as all other child development programs, they are operated at the local level primarily by private, non-profit, community-based organizations. Some public organizations are also involved.

2) Campus Children's Centers:

These centers are intended primarily to care for the children of students on two-year and four-year college or university campuses. In addition, they frequently serve as training sites for students enrolled in child development programs at the college. They are much like other publicly supported group care facilities, with the various program components available. There are currently 15 centers operating on four-year campuses serving approximately 950 children, and 15 centers serving approximately 1100 children on two-year campuses. Expansion in this program is currently occurring as a result of AB 229 adopted in 1975. The federal funds involved in this program are small and pertain only to AFDC clients.

3) Migrant Child Care Centers:

Migrant Child Care Centers are seasonal child day care programs located primarily in government subsidized housing units within the various agricultural counties in California. The State Department of Education administers these programs under the terms of annual interagency agreements with the State Department of Health and Employment Development and the Employment Development Department which bears primary responsibility for implementing the program. The EDD manages and/or supervises the construction of day care facilities for the children of migrant farmworkers. At the local level, they are operated by county offices of education, school districts or private agencies.

There are 47 migrant child care centers serving approximately 2,800 infants and preschool age children while their parents work in the fields. The centers are open for varying lengths of time during the year dependent on the harvest in the area in which the housing unit is located.

4) County Department of Public Social Services Contracts:

There are 53 Standard Agreement Contracts between the State Department of Education and county departments of public social services (welfare) to provide child care services on a vendor payment basis.

This type of contracted arrangement was developed so that a County welfare department could issue a voucher to the parent or pay a particular vendor for child care services on behalf of a public assistance family in need of such service. The majority of the vouchers are utilized to purchase service in family day care homes.

5) School Age Parenting and Infant Development:

Twelve agencies are state funded to establish programs for the children of school age parents. Located on or near the high school campuses, these programs provide not only child development services for the infants, but parenting education for their school age parents as they finish their high school program. It should be noted that this program is exclusively state supported.

6) Pilot Study:

While the purpose of the Pilot Study is to develop and test a coordinated child day care delivery system, in so doing it also provides subsidized child care to some 1,500 families in Santa Clara county in conjunction with an experimental extended fee schedule being explored.

1-4 INFORMATION SYSTEM

Records

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service records	yes	Individual	SDE provider agencies
Standardized social service forms	yes	Family	County
Computerized records	yes in the three counties visited	Individual	County
	yes-SDE	None*	State

* No statewide data is kept on an individual client basis; data with client identifiers is kept at the county level only.

Extent of Data: The extent of data collected by the county varies in each county. All counties keep records on only those it services (i.e., AFDC-WIN, AFDC, etc.). The three counties visited retain information pertaining to client identifiers, demographic descriptors, eligibility status, service delivery and cost data, and this information is retrievable through the computer and standardized social services records at the county level.

SDE provider agencies are required to maintain narrative records on client identifiers, demographic descriptors, eligibility status and service costs. The information collected is retrievable only through each local provider agency and reflects data pertaining to income eligibles only, since they are subject to eligibility determination by providers.

Data Aggregation: The aggregation of data varies with each county. Data was found to be aggregated on computers in the three counties visited. This data is disseminated in quarterly reports. However, individual client data is not aggregated at the state level by DOH or SDE.

SDE does aggregate other kinds of data through a computerized system. This includes monthly provider reports and quarterly county reports on number of children, age groups, eligibility categories, number of hours served, cost per child and total program cost. The computerized information generates quarterly reports to DOH. (Note: These reports are primarily for fiscal control.)

State officials had experienced no problems to date with the SSRR, but anticipated difficulty in aggregating individual client data from the 58 counties for the next phase of the SSRR.

1-5 STATUTES

As stated earlier, California Education Code 16703 assigns responsibility for administration of child care programs to SDE.

"The State Department of Education is hereby designated as the single state agency responsible for the promotion, development and provision of care of children in the absence of their parents during the workday or while engaged in other activities which require assistance of a third party or parties."

Other state statutes that are involved in child care are:

- State Law AB 99 - California Child Development Act of 1972 which mandates the creation of the Innovative Programs.
- State Law AB 282 - a California statute of 1972 mandates the creation of County Contract Centers (Community-based Centers).

1-6 IDENTIFIED PROBLEMS/STRENGTHS

State and local personnel interviewed agreed that the one problem that severely limits the delivery of child day care in the state is the duplexity for the administration of child care, with DOH as the designated Title XX agency and SDE as the operational administrative agency. SDE personnel felt that they should administer child day care services and should be granted a waiver from the Department of Health,Education and Welfare in order to receive federal social security monies. DOH felt that day care should be jointly administered. The present system requires both dollar expenditures and staff from each department to carry out the delivery of services.

State officials noted that California reached its federal funding ceiling in 1972. Supplementary funds from state and local revenues that make up the State's General Funds are being increasingly used to provide social services. 34% of all social services expenditures in FY 74-75 were allocated from the General Fund.

The officials interviewed noted, as the strengths of California child care programs, the variety of child care programs available, the comprehensiveness of the services, and the careful and regular attention of the SDE staff in assisting providers.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: State Department of Health, Social Services Planning Branch, conducted the needs assessment in conjunction with the Title XX comprehensive planning activities.

Respondents stated that no statewide child care needs assessment had been conducted prior to Title XX. However, some special child care needs assessments done by individual counties (i.e., Contra Costa) and cities (i.e., Berkeley) had been completed before Title XX.

Level of Effort: The Social Services Planning Branch allocated its seven full-time planners to work along with the Title XX Task Force in conducting the needs assessment. About nine calendar months were devoted to the needs assessment and planning. FTE allocated for the needs assessment could not be broken out separately.

2-2 PROCESS

Scope: The needs assessment study covered all social services including child care and included services availability and client need.

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Limited Usage	County services review; County records review.
In-house Agency Personnel	Utilized to Some Extent	State DOH and SDE staff; County welfare department personnel (four or five).
Community Agencies	Limited Usage	United Way, local school districts, and other private agencies which appeared at public hearings.
Service Providers	Utilized to Some Extent	Provider agencies were asked to provide information of the type of services needed, primarily at public hearings.
Consumers	Limited Usage	Consumers were the largest group participating in the public hearings described below.
General Public	Limited Usage	Public meetings - 700 notices were sent out and newspaper announcements made. Approximately 1000 persons attended with 380 persons testifying at 8-12 public hearings at all major metropolitan areas and selected rural areas.

In Contra Costa County, the child care coordinator conducted a community-by-community needs assessment study, utilizing questionnaires, census data, reports and community meetings. While the study in Contra Costa County was not systematically integrated into those of the state, the resulting study was used as a partial basis for the county's input into the state's Title XX needs assessment.

2-3 RESULTS/UTILIZATION

No specific numerical estimates were generated as a result of the needs assessment study.

3. PLANNING & IMPLEMENTATION

3-1 ORGANIZATION

On-Going Planning: The Program Plan Development Unit, within the Service Operation Section of the Social Services Planning Branch of DOH, is responsible for all social service planning.

Title XX Planning: The Program Plan Development Unit of the DOH Social Services Planning Branch was responsible for Title XX planning. It is composed of seven (7) full-time planners with on-going planning responsibility. In addition, a Task Force and Steering Committee were developed and appointed by the Governor, to assist the planners in the development of the state's Title XX plan. The Task Force and Steering Committee were composed of representatives from the Department of Health, Department of Benefit Payments, State Department of Education, Department of Rehabilitation, Employment Development Department, the Health and Welfare Agency's Office of Aging, Office of Education, and Legal Office. The Steering Committee was also composed of four (4) public representatives.

3-2 PLANNING PROCESS

The Title XX State Plan indicates that a comprehensive and systematic planning process was not possible due to the time constraints of Title XX. The Department of Health coordinated as many governmental, public and private entities in the planning of Title XX as possible. Respondents indicated that no special planning activities were undertaken with reference to child care for Title XX.

Counties were selected as the geographic areas because they are the chief mechanisms for the delivery of services. In the future each county will be requested to develop a county plan and submit it to the state for integration into the state's plan. The county will then become the basic planning unit.

3-3 RESULTS OF TITLE XX PLANNING

Areas for Quantification	Defined	Quantified	Types & Numbers	Comparison
Total # to be served	yes	yes	55,440	Same
Population Categories to be served	yes	no	AFDC; SSI/SSP; Income Eligibles	Same
Priority Population Categories	yes	no	#1 AFDC; #2 SSI/SSP	Same
Service Provider Types	yes	no	Out-of-home care In-home care	Same
Special Provider Attributes (e.g., hours of service)	no	no	-----	----
Geographic Areas	yes	yes	58 counties	Same
Dollars Allocated for Child Care Service Under Title XX	yes	yes	$62,500,000	Same

Planned Organizational Change: None.

3-4 UTILIZATION/IMPLEMENTATION

No changes in services or organization resulted from the planning process.

4. EVALUATION

4-1 ORGANIZATION

The DOH Child Care Review Team within the Social Services Division and the SDE Development and Funding Assistance Services Section have both undertaken the responsibility for conducting evaluations of the state's day care programs. In addition, many counties such as Santa Clara and Contra Costa have undertaken extensive local day care evaluations in recent years.

4-2 ACTIVITIES AND PROCESS

DOH and SDE respondents estimated that approximately 28 state level child care evaluations have been conducted in the past 3-5 years. Some of these evaluations covered all social services including child care; others were child care specific. The most recent effort, undertaken by the DOH Child Care Review Team, was completed in April, 1976. It was an assessment of the child care management program operations of the three agencies which are party to the interagency agreement (SDE, DOH and EDD). The study was intended to provide a comprehensive picture of the child care service system as a basis for Program Year II planning efforts.

4-3 RESULTS

The current study resulted in the identification of day care management problem areas (i.e., that client information, referral and eligibility determination should emanate from county welfare departments rather than from providers to ensure that child care is considered part of a client's entire range of social service needs). Exemplary practices in facility standards and maintenance of child health records were identified. The DOH report also included rebuttal comments by the SDE.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Information and referral services are available at local county welfare departments as well as SDE provider agencies. A variety of agencies and personnel provide information and referral services to the community, such as county social services workers, SAU-WIN staff, city school districts and voluntary agencies.

In Santa Clara county I & R services are contracted to the I & R Services of Santa Clara County, Inc. The services are available to all members of the community and cover all social services, including child care.

5-2 PROCESS

Assembling Information:

Information on public centers is compiled by the local school districts and county social services workers.

Information on private centers and homes is compiled by the county and district licensing workers.

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Centers	yes	*Monthly to Annually	X	X	X	X
Homes	yes	Monthly to Annually	S	S	S	S
In-home	UNK	UNK				

* The frequency of updates varies with each local jurisdiction from monthly to annually.

Disseminating Information: Information is provided to the public through a variety of methods, with each county determining the process. Some of the methods used are: newspaper articles and announcements, county personnel giving talks to community groups, workshops, and announcements placed in the elementary schools. Some outreach activities are carried out by city and county school districts and local 4-C's organizations.

Assessing Client Need/Referral and Follow-up: For AFDC, AFDC-WIN, SSI and SSP recipients, the county social service worker has primary responsibility for assessing client need, based on child's age, family composition, child's personality, and/or developmental level, hours of care, cost and location. The assessment is estimated to take from twenty minutes to one hour. The social service worker is the only person with whom the client is involved from initial contact through completed placement. The parent is involved in the entire process. Follow-up is generally done by the social service worker.

Income eligible clients undergo the same processes, except that the assessment, referral and follow-up are handled by a provider agency staff.

In Santa Barbara county, a self-assessment form is completed by the client before the assessment interview takes place. If the client is to use income maintenance funds for payment of child care, no assessment is needed. The social worker conducts a follow-up with the client and facility to determine if services were secured.

5-3 RESULTS

Time period: Past 3 months for Santa Clara County only.

Number clients seeking child care referral	276
Number actively assisted	270
Number securing their own services	3
Number unable to secure services	3

No statewide figures are available because I & R is a local function and data has not been aggregated statewide.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The establishment of eligibility regulations and the development of standardized application forms are the responsibility of the Department of Health for all social services. The State Department of Education works very closely with DOH in the development of regulations and applications for child care eligibility. Since January 1, 1976, the responsibility for actual client eligibility determination has been transferred from the county welfare department to directors of day care service providers. The latter are intensively trained by SDE in the eligibility determination process. Under this system client eligibility records remain with the provider agency and are not forwarded for storage with the county.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC
- AFDC-WIN
- SSI
- SSP-State Supplemental Program
- Income eligibles are defined as those individuals whose annual gross income does not exceed 84.04% of the state's median income ($14,778 for a family of four). Below 50.10% ($617/month for a family of four) no fee is charged. From 50.10% to 84.04% ($618 to $1035/month for a family of four) a sliding fee is charged. Above 84.04% of the median, client must pay the full cost of care.

Revisions Since the Passage of Title XX: The category of income eligibles (including group eligibles and former and potential ADC recipients) was added along with a sliding fee schedule.

Materials to Ensure Uniform Interpretation: Guides have been developed and distributed.

6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the Department of Health and covering family information and verification methods are in use throughout the state.

Applications are secured by the provider agencies (SDE). The total number of applications received statewide for child care services is unknown. However, in Contra Costa County 8000 social service applications were received in FY 74-75 and 1000 were for child care.

Eligibility, Determination, and Verification: The responsibility for eligibility determination lies with the provider agencies. AFDC, WIN, SSI, SSP recipient status is sometimes verified by checking the welfare records. More often, an ADC or Medicaid card suffices, and the county does not become involved in the verification process. Income eligibles must submit paycheck stubs to establish that the client earns less than 84.04% of state median income. Migrant worker clients must be residents of migrant housing units. School age parents must be within a specific age group and college (student) parents are required to have a current college I.D. card. The provider agencies are frequently able to determine eligibility immediately. When this is not possible, the applicant is contacted by phone or mail. The time lapse between initial application and completion of the eligibility determination process ranges from immediately to 30 days. The delivery of services does not begin until eligibility is determined.

Of the 1000 applicants for child care in FY 75 in Contra Costa County, approximately 95% were found to be eligible.

Quality Control: It is essentially the client's responsibility to notify the social service worker or provider agency of any relevant changes in status.

During SDE's three phase evaluation/monitoring process, a random sample of clients using SDE facilities are checked for eligibility status.

Redetermination of Eligibility: Eligibility is redetermined every six months. Generally it is at this time that clients who have become ineligible are identified. The redetermination process is the same as the initial application process.

Appeals: No appeals have been filed this fiscal year.

6-4 PARENT FEES

At the time of the site visit, fees were charged on a sliding scale to persons whose income fell between 50.10% and 84.04% of the SMI. Since April 1, 1976, fees are charged on a sliding scale from 50.10% to 115% of SMI to persons who were service recipients before April 1, 1976. Persons receiving initial services after April 1, 1976, are subject to the previous fee scale.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Department of Health is responsible for the development of licensing standards and regulations.

The county welfare departments are responsible for the implementation of licensing procedures, including both issuance and enforcement for all family day care homes not operating under SDE contract.

The district offices of DOH are responsible for the licensing of group day care homes and private centers not operating under SDE contract.

The State Department of Education, Field Services Section, is responsible for accreditation of all its provider agencies; these include some homes, all public centers and private centers operating under SDE contract. SDE's providers are not subjected to licensure; only accreditation.

Staffing: Each of the 58 county welfare departments have between three and fifteen licensing workers, with 100% of their time allocated for child care licensing.

In each of the eight district DOH offices there is one licensing representative who allocates 90% of his/her time to licensing group day care homes and private centers.

The SDE Field Services Section is divided into two teams, with fourteen consultants per team located in the state capital. One team covers the northern section of the state, while the other is responsible for the southern geographic areas. 50% of their time is allocated to the accreditation of SDE provider agencies.

A bachelor's degree, preferably in social welfare, constitutes the minimum requirement for licensing staff in both DOH district offices and county welfare departments. Information on the requisite background of SDE Field Services licensing workers was not available.

7-2 STANDARDS

Standards Development Process: The Department of Health is responsible for developing child care standards. A committee composed of district licensing representatives, an SDE representative, and child care specialists revised the standards in 1972. Providers and consumers were asked to review the proposed standards. New standards are currently being negotiated and redrawn after legislative review. Thus, current operational standards date from 1972. SDE did not participate in the development of the new standards.

Content of Standards:

Staff:Child Ratio

Centers: (No size limit)	Ages	Ratios
	6 wks.- 36 mos.	1:4
	3 - 4 yrs.	1:5
	4 - 6 yrs.	1:7
	6 - 16 yrs.	1:12
Group Day Care Homes: (Up to 10 children, including the caretaker's own.)	Ages	Ratios
	6 wks. - 36 mos.	1:4
	3 - 4 yrs.	1:5
	4 - 6 yrs.	1:6
	6 - 16 yrs.	1:6
Family Day Care Homes:		
Up to 5 children, infancy to 6 yrs.		1:5
Up to 6 children, 3 yrs. to 16 yrs.		1:6

The standards for in-home care providers specify that he/she be over 18 years of age and be mentally and physically fit.

Additional Components of Standards: The licensing standards for homes include components in the following areas:

- Administration
- Facilities
- Health
- Safety
- Nutrition
- Educational/Program
- Social Services

The standards for centers include all of the above plus the following components:

- Staff qualification
- Staff training
- Discipline
- Special provisions for infant care

Comparison of Standards with FIDCR: California's standards for centers and homes coincide with FIDCR with the exception of the over 6 year old staff-child ratio in centers. The standards are more specific than FIDCR with regards to special provision for group care for infants, physical facilities, educational and nutritional components.

SDE provider agencies must meet FIDCR and state standards before a contract can be issued. This is, in effect, equivalent to accreditation which requires both state and FIDCR standards be met.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total#	# Sanctioned	% Disq.	Planned	Actual
Public Centers	Accreditation*	281	281	UNK	As Needed	
Private Centers	Accred.	UNK	64	UNK	As Needed	
	License	UNK	UNK	UNK	Every 2 Years	Every 2 Years
Group Day Care Homes	Accred.	UNK	18	UNK	As Needed	
	License	UNK	3200	UNK	Every 2 Years	Every 2 Years
Family Day Care Homes	Accred.	2**/ UNK***	2** UNK***	UNK	As Needed	
	License	15000	1500	UNK	Every 2 Years	Every 2 Years
Relative DCH's	NONE-----	--------	------------	--------	--------	--------
In-home	NONE	UNK	na	UNK	na	na

* Accreditation differs from licensure in that it covers compliance with both state and FIDCR standards; licensure includes compliance with state standards only.

** Represents SDE-prime contracted family day care provider agencies which further contract with individual family day care homes.

*** Represents vendor-paid family day care homes operating on sub-sub-contract from SDE through 52 county welfare departments.

Fees for Licenses: None for SDE facilities. A licensing fee for DOH facilities is included in the regulations but is not enforced.

Content of License: For centers and homes licensed by DOH, the document includes:

- Name of facility
- Number of children
- Age allowed to be served
- Special conditions to handle handicapped children
- Period valid and/or expiration date

SDE's provider agencies are issued a Certificate of Approval upon completion of the accreditation process. The content of the certificate includes:

- Provider identification
- Site contact person
- Certifying consultant
- Number of children allowed

7-4 LICENSING PROCESS/ACCREDITATION PROCESS

Areas of Investigation: For homes and centers undergoing licensure the areas of investigation include:

- Physical characteristics
- Provider characteristics
- Provisions for educational and nutritional components
- Provision for infant care
- Provision for handicapped children
- Staff qualifications
- Health screening
- Staff medical and psychiatric clearance

The areas of investigation for homes and centers undergoing accreditation include all of those above plus:

- FIDCR compliance
- Administrative capability (i.e., record-keeping, eligibility determination capability and fiscal management capacity)

Extent and Nature of Process:

Licensing Process - For all provider types, there is a structured licensing study. Normally, only one visit by a county/district licensing worker is required to complete a licensing study; it usually takes an average of between 30 - 60 days between study and license issuance. Word-of-mouth is the dominant method by which providers find out they need a license. All providers have undergone an initial licensing study. A renewal every two years is automatic unless problems are identified by clients or county/district licensing staff.

Accreditation Process - The State Department of Education informs all providers applying for a contract that accreditation is necessary to receive a contract. The process occurs in two parts. The compliance review forms are mailed to the provider and returned to SDE. After provider review of compliance forms, a site visit is conducted to substantiate information contained on the form. The time lapse for completion of an accreditation study for centers is between 30 - 60 days. State respondents noted that the variation in completion time is dependent on the time required for a fire clearance from the State Fire Marshall. Interviewees estimated that an accreditation study for a home might take longer because caretaker fingerprints and personal references must be checked. Subsequent to study completion (for both homes and centers), providers have 30 days to come into compliance before actions to withhold funds are initiated. Once a facility receives accreditation, it is not subject to a renewal process unless accreditation is lost through non-compliance. Subsequently, a facility may apply for re-accreditation.

Conditional License: State respondents were not certain whether conditional licenses are issued.

Revocations: Two SDE accreditations were revoked in the past year. No information on this subject was available for DOH licensed facilities.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Field Review Unit of the Service Management Section of DOH is responsible for child care monitoring for all providers including SDE's. This unit was established in January, 1975, and composed of six full time staff members. Monitoring of SDE providers began in November, 1975.

The Office of Child Development within SDE Field Service Section is responsible for monitoring SDE provider agencies with twenty-eight consultants comprising 20 FTE conducting monitoring; 50% of their time is allocated to monitoring.

8-2 MONITORING ACTIVITIES

Provider Type	By Whom Monitored	% Monitored	Frequency	Av. Time Per Unit
Public Centers	SDE-OCD Phase I* Phases II & III**	100% 33 1/3 %	Annually Annually	3 days 1½ days
	DOH Field Review Unit	28%	Irregular	UNK
Private Center	SDE-OCD Phase I Phases II & III	100% 100%,33 1/3%	Annually Annually	3 days 1½ days
	DOH Field Review Unit	28%	Irregular	UNK
Family Day Care Homes	SDE-OCD Phase I Phases II & III	100% 100%,33 1/3%	Annually Annually	3 days 1½ days
	DOH Field Review Unit	28%	Irregular	UNK
Group Day Care Homes	SDE-OCD Phase I Phases II & III	100% 100%,33 1/3%	Annually Annually	3 days 1½ days
	DOH Field Review Unit	28%	Irregular	UNK

8-3 PROCESS

The Field Review Unit of DOH monitors all providers, including SDE provider agencies with the monitoring studies covering: staff-child ratio, compliance with federal regulations, eligibility, administrative components, health and safety compliance.

SDE's Office of Child Development has developed a Three-phase Review process to monitor and evaluate its provider agencies.

* The Phase I Compliance Review involves site and facility compliance to federal and state regulations. It covers items such as fire and health inspection; safety and sanitation requirements; suitability of facilities, including kitchen, playground, office space and equipment; center capacity and adult/child ratio; administration, including admissions policies, personnel policies, staff qualifications, and record keeping; health; and infant care. Documentation of the above items is required. Compliance with these legal regulations is necessary for the continued funding and operating of the program. Scheduled site visits are predominantly used; some surprise visits are made.

** The Phase II Fiscal and Attendance Review examines certification of eligibility; parents fees; attendance accounting; and income and expenditure accounting. As in Phase I, if items are found to be out of compliance, a plan must be submitted to correct those items; otherwise, funding may be jeopardized.

*** The Phase III Review assesses the scope and quality of program components. The Phase III instrument also serves as a guide to program improvement. Providers do a self-assessment each year using the Phase III instrument. SDE assesses all of its providers every three years; thus, one-third are subject to an SDE assessment each year.

8-4 RESULTS

The Office of Child Development has increased its technical assistance, to help provider agencies comply with regulations.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Within DOH's district offices, the eight Licensing Representatives in the Licensing and Certification Division are responsible for providing technical assistance to county welfare departments.

Within SDE's Office of Child Development, the Field Services Section and Development and Funding Assistance Section are responsible for providing technical assistance and training to SDE provider agencies. Approximately 20 FTE are allocated for this purpose. Their percentage of time allocated to providing child day care training and technical assistance is unknown. In Contra Costa County, for example, the licensing staff allocates 30% of their time to training and technical assistance for child care providers.

Staff Background: For the DOH a bachelor's degree in social welfare is preferred, with work experience in social service programs considered desirable. For SDE the qualifications vary from a B.A. degree to a PhD in social sciences, social welfare or a related field. Suitable experience may be substituted.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
SDE Field Services Teams	SDE-OCD Development Services Team	Development of guidelines, regulations, and interagency contracts.	Monthly - 2-4 hrs.
SDE Field Service Licensing Reps.	SDE-OCD Development Services Team	Interpretation of SDE's 3-phase review process (two sessions)	2 hrs. each session
SDE Field Service Licensing Reps.	SDE-OCD Development Services Team	SDE's review process (two sessions)	2 hrs. each session
DOH Regional Licensing Units	SDE-OCD Development Services Team	six training sessions on first-time accreditations of family day care homes	1½ hrs. each session

Provider Training and Assistance

To Whom	By Whom	Description	Amount
SDE Provider Agencies (Centers and Homes)	o SDE-OCD Field Services Team o SDE-OCD Fund-Funding Assistance Teams	Interpretation of accreditation guidelines; fiscal management assistance	One Week each per year; given monthly
		Phase II assessment	1/3 of all providers,- 4 hrs. each

9-3 PROCESS

The chief ways in which training and technical assistance needs are identified by all groups are:

- o Provider requests
- o Areas identified as a result of SDE's three-phase review process.

The Field Services Team uses scheduled site visits and workshops as the main methods of training and technical assistance provision.

9-4 RESULTS

DOH personnel felt that their success in meeting identified training and technical assistance needs had been marginal, while SDE respondents felt they had been successful in meeting all of their training and technical assistance goals and felt they had a substantial impact on meeting training and technical assistance needs.

Follow-up activities are conducted by SDE on a regular basis. It is felt that the Three-phase Review Process promoted additional and scheduled follow-ups.

9-5 PRINTED MATERIALS

- o The Phase III Review Document

10. FISCAL

10-1 ORGANIZATION

Structure:

State: The fiscal management responsibilities are shared by the Department of Health and the State Department of Education.

The Department of Health, as the designated state service agency, is responsible for supervision and fiscal reporting of Title XX funds.

The State Department of Education is responsible for contracts management, fiscal control and reporting, and reimbursements to providers. SDE submits a quarterly fiscal report to DOH.

Local: The county welfare departments have no fiscal management responsibility for child care. Fiscal activities at the county level involve submitting fiscal reports to SDE quarterly on child care expenditure.

Local provider agencies submit monthly reports of expenditure to SDE for reimbursement.

Functions: SDE's Office of Child Development, Funding Assistance Services Section, receives claims from provider agencies, checks for contract compliance, and processes and forwards vouchers to SDE's Accounting Division for additional checking and final approval. The Accounting Division forwards the approved claims to the State Comptroller for payment. The Funding Assistance Services Section is viewed by state respondents as a program unit that facilitates the fiscal process, rather than a fiscal unit.

10-2 FISCAL MATERIAL

The full complement of required fiscal materials have been developed by DOH and SDE and are regularly used. The fiscal materials were not rated by respondents.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	$62,500,000	$62,500,000 (80%)
WIN	UNK	$2,986,908 (4%)
CWS	UNK	-0-
Unmatched State Funds	UNK	$11,800,000 (15%)
Other: Migrant Funds (Federal)	UNK	$450,000 (1%)
TOTAL	UNK	$77,736,908 (100%)

The local match is a composite of state and local funds.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
PURCHASE OF SERVICE		
Contracted Facilities	UNK	UNK
Vendor-paid Facilities	UNK	UNK
Direct Provision/Operation	None	None
Client Purchase with Social Service Reimbursement	UNK	UNK

Under the variety of contracts issued by SDE, the expenditures by the method of service provision is unknown. The provider agencies use purchase of service, vendor payment, and client purchase as methods of service provision.

Description of Funding Methods/Processes:

A. Purchase of Service: The Department of Health, through the Interagency agreement, contracts with the State Department of Education which purchases services from county welfare departments, school districts, colleges/universities, and other public and private agencies which in turn contract with all types of out-of-home providers. Vendor payments are used by county welfare departments (after contracting with SDE) to procure services from all out-of-home providers.

The contract management organization is described by respondents as "clear-cut" despite the variety of agencies involved in the administration and delivery of child day care services. All contracts are initiated by SDE through a formal funding approval letter confirming that the provider's proposed application constitutes a "contract". According to SDE officials, no formal contracts exist. These "agreements" operate on a 12-month maximum. Upon approval of an application by SDE, provider agencies may begin serving FFP eligibles.

Large-scale sub-contracting is undertaken.

B. Direct Provision: None.

C. Client Purchase: Client purchase with WIN and income maintenance funds are managed by the county welfare department and the local Employment Development Department. In addition to any cash grants, clients are issued an actual check for the purpose of purchasing day care services. The check is usually made out to the client, sometimes to both the client and provider. Quality control procedures consist of the client being required to validate his/her day care expenditure by a receipt endorsed by the provider. If a client spends less than he/she is allotted, the subsequent check is reduced accordingly.

10-5 RATE ESTABLISHMENT

Unit of Measurement: per child hour

	RATES		
Provider Type	Basis	Average	Range
SDE Centers	Legislatively Established	$1.15/hr.	$1.10-1.35/hr.
SDE Family Day Care Homes	Legislatively Established	$1.15/hr.	$1.10-1.35/hr.
In-home	County-Established	UNK	$36.00-$50.00/ week

Maximum Rate, if Specified: The inter-agency agreement between DOH and SDE provides that child care may be purchased for a certified child up to a maximum of $1.10 for children two years and older, and $1.35 for children under two years.

10-6 IN-HOME CARE

In-home care is primarily used by WIN recipients with care purchased by the county welfare departments and EDD. The state respondents noted that there is an increased emphasis to use family day care homes or center care where possible.

10-7 INCOME ELIGIBLE AND PARENT FEES

Persons receiving day care services prior to April 1, 1975, qualify under a new sliding fee schedule. It indicated that such persons whose income is between 50.10% and 115% of the state median income, pay for day care on a sliding fee basis. Persons qualifying for service after April 1, 1976, are subject to the prior fee schedule which defined income eligibility between 50.10% and 84.04% of the state median income.

State law requires parent fees to be used to reduce program operating expenses. They must be clearly identified as a budget item.

10-8 DONATIONS

No estimates on donations were available. Most donations are in-kind contributions (i.e., volunteers).

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State supervised, county administered.

Description of Administrative Structure: The Department of Social Services is the designated state service agency. The Division of Title XX Services is responsible for supervising programs fundable under Title XX. There is a Family and Children's Service Section within the Division supervising child day care programs.

The Family and Children's Service Section includes a Day Care Unit and a separate Licensing Unit. The Day Care Unit consists of two full time consultants while the licensing unit consists of an administrator, a supervisor, and 8 licensing representatives. There is also an Advisory Committee which works with the licensing unit. The Advisory Committee whose members were appointed by the Governor, was established as a part of Colorado's Child Care Act.

The licensing of Day Care centers is conducted by the state licensing unit. County Departments of Social Services are responsible for licensing Family Day Care Homes, with oversight and assistance provided by the state licensing representatives.

It was reported that fiscal management is shared by the Day Care Services Unit, the Office of Planning and Evaluation, the Office of Accounting, and the Office of the Budget. The latter three offices are within separate divisions of the Department of Social Services. It was stated that the communication system is "rather easy" in that all the fiscal units are in the same building.

Statewide, there are 63 county Departments of Social Services. The county departments are supervised by a Field Operations Unit in the state Department of Social Services.

Each county department has a director who is responsible to a County Board of Commissioners and the state Social Services Department.

The organizational structure of the county departments vary considerably by county size. Generally, the caseworkers, social worker, and homemaker staff members are under the direction of a social services supervisor who reports to, or is, the county director.

The Colorado site visit was conducted in January, 1976. Interviews were conducted with personnel in the state office and with staff in two county offices.

1-2 RESOURCES ALLOCATED TO CHILD CARE (Annual Basis)

	EXPENDITURES FY-74-75	ALLOCATIONS FY 75-76*	PROPOSED REVISIONS FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$43,408,200	$38,369,072	$48,053,200
Total Child Care Funds (Titles IV-A/XX)	6,164,908	7,650,087	7,691,339
Percentage of Total Social Services Funds Allocated to Child Care	14%	20%	16%

* The Comprehensive Annual Services Program plan (CASP) for FY 75-76 is a 9 month plan (October 1, 1975-June 30, 1976). Figures shown in the plan for Social Services and Child Care are $28,784,000 and $5,739,000, respectively. These figures have been annualized by multiplying by a factor of 1.333. Included in the figures are day care services for normal children and day care services for children with special needs who are mentally retarded, have physical handicaps, exhibit emotional disturbances or behavioral problems.

In January 1976 the budget request to the state legislature was revised to an estimate of $7,691,339 for day care in FY 75-76. This was to allow for income eligibles to receive day care services which was originally not included. The revised budget, if approved, by the Joint Budget Committee of the legislature, will be $48,053,200 with 16% going to day care.

Of the 56 staff members assigned to the Division of Title XX services, 10 professional staff members (18%) are assigned full time to Day Care.

State personnel estimated that there are 1525 county workers assigned to social services statewide. Figures are not available on the number of county workers assigned to childcare statewide. Boulder county has 3 of its 43 FTE's assigned to child day care.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	15	NO BREAKOUT AVAILABLE	NO BREAKOUT AVAILABLE	NO BREAKOUT AVAILABLE
Private Centers	459			
Group Day Care Homes	Not Utilized****			
Family Day Care Homes	3,861			
In-home Care	Unk			
TOTAL	4,335	9,822**	$7,086,521***	$7,731,360**

* Includes all licensed, approved, or otherwise santioned providers.

** Based on report for November 1975 on number of children served and total child care expenditures. To date, breakdowns of number of FFP Children and expenditures by provider type are not available. The state is implementing a computer program, however, which will break out data for day care purchased for each child by provider, county, age of child, assistance category, number of days of care, expenditure for the care, cost for the care, average cost per day, and full time equivalent conversions. The data needed for the computer system is currently available on day care monthly billings. The new system is expected to be in place by July 1, 1976.

*** Includes WIN & CWS

**** The state, however, does have a separate category identified as small centers. These centers (70) are regulated under the state's regular center standards.

1-4 INFORMATION SYSTEM

Nature of Records

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	individual	local
Standardized social service forms	yes	individual	local-state
Computerized records	yes	individual	state

Extent of Data: Narrative social service forms, standardized social service forms, and computerized records are utilized. All data is collected except a demographic descriptor of ethnicity.

Data Aggregation: Colorado has a state computerized management information system, including a limited but growing amount of teleprocessing. Counties collect the data and it is sent to the state office on a state prescribed and printed form where it is put on tapes. The system currently produces monthly management reports.

Currently, the Management Information System is being redesigned. Until the system is in place the Department of Social Services will have to pull data from more than one source to meet the first cycle of SSRR, and the state expect to be somewhat late.

1-5 STATUTES

In addition to a series of licensing statutes which go back to 1942, local fire and health ordinances were cited.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

FIDCR is considered to be the dominant problem in managing child care services. The state believes that it has a "good" licensing law and thoughtfully considered standards. On the other hand, it is believed that FIDCR is irrationally conceived. It is believed that FIDCR should address staff-child ratios only in a broad way. State personnel would like to see "realistic protection" enforced by the Federal Government.

It was reported that Colorado has had a 25% - 30% increase in requests for licenses which has created workload problems.

In addition, funding was cited as a problem. The state has reached the federal ceiling level which has left little room for Title XX planning. With the income eligible caseload growing rapidly, it was stated that funding for child care is "grossly inadequate". It was estimated that there are 20,000 employed female heads of household which could be picked up as income eligibles if funding were available.

Even with the tight money situation county boards generally see child care as a cost-effective expenditure and are supportive of child care. The County Social Service Departments have made a significant effort to develop good programs, and needs are generally being met with good care. According to high level state staff, there is a basic dedication and interest in quality child care among both state and local staff. It was stated that center care is qualitatively high because standards (especially director qualifications) assure more than adequate care.

It was stated that both county and state staff have shown imagination and creativity in day care resource development and program management. Larimer County, for example, has developed a model for group intake in Family Home Care Licensing. Boulder County has achieved T & TA far beyond available state funding by working closely with the City Council to obtain funding for demonstration projects for training day care home mothers.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state Office of Program Planning and Evaluation and the Director of the Title XX Services Unit had responsibility for coordinating the needs assessment.

The primary method utilized in conducting the needs assessment consisted of county based input on needs. This was undertaken in early 1975 using a structered format called Idea Generation Reports. The Reports, which were completed by each county subsequent to public hearings, consisted of two forms. The first form asked for services to be matched to goals; the second asked for services to be matched to target populations.

It was reported that most counties held public meetings to obtain public input. Some counties interviewed current recipients to determine the types of services needed. Finally, the counties assigned priorities to the services needed.

The county provided Idea Generation Reports were sorted and organized at the state level and provided input for Title XX planning. In addition, the state Social Services Department sought input on needs from certain private non-profit organizations and from a review of available needs assessment reports.

Staffing: The needs assessment and Title XX planning were closely associated. The combined effort required one person nearly full time and another person part time over approximately five months. The Day Care Staff provided input for the needs assessment.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Utilized to limited extent	Review of available reports relevant to needs assessment
In-house Agency Personnel	Extensively utilized	Input from all county departments utilizing structured format
Community Agencies	Utilized to some extent	Input from selected private non-profit service organizations
Service Providers	Utilized to some extent	County level public hearings convened statewide
Consumers	Utilized to limited extent	Included in public hearings; some counties conducted interviews with recipients
General Public	Utilized to limited extent	Included in public hearings

2-3 RESULTS/UTILIZATION

Specific Numerical Results: The county provided reports, containing lists of needed services by priority, were used in establishing a list of Title XX services to be provided statewide.

Degree of Integration into the Planning Process: It was reported that the Title XX needs assessment and the Title XX Plan were closely associated.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: The Office of Program Planning and Evaluation, within the Department of Social Services, is responsible for on-going planning. It was reported that the planning unit coordinates with the Office of State Planning and Budgeting. The unit is primarily responsible for program planning.

Title XX Planning: Title XX planning was conducted by the Office of Program Planning and Evaluation and the Director of the Title XX Services Unit.

Staffing: The needs assessment and Title XX planning were closely associated. The combined effort required one person nearly full time and another person part-time over approximately five months. Child Care Staff provided input for the planning effort.

3-2 PLANNING PROCESS

State staff said that Title XX planning was more extensive and more formalized than previous planning efforts.

Basically, the state planning unit utilized data provided by counties on service needs. Priorities assigned to needed services were used to establish a list of services to be provided statewide. This list of prioritized services was compared with the department FY 1976 budget request to make the final determination of services to include. It was reported that the major planning problem was to determine the groups of clients to be served and the services to include given funding delimitations.

Following publication of the plan, the state received 222 written comments from 154 respondents (including groups and individuals). Of the 95 individual comments, about 36% were concerned with day care services, particularly on the loss of day care benefits to pre-Title XX recipients and the lack of availability of day care to two-parent families.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison*
Total # to be served	yes	yes	9660 (quarterly)	fewer
Population Categories to be served	yes	yes	AFDC-5500 (quarterly) SSI-40 (quarterly) Income eligibles-4060 (quarterly)	UNK
Priority Population Categories	yes	no	AFDC	UNK
Service Provider Types	yes	no	In-home family day care homes group day care	UNK
Special Provider Attributes (e.g., hours of service)	no	no	--	--
Geographic Areas	yes	no	Statewide	UNK
Dollars Allocated for Child Care Services	yes	yes	$7,650,087	more

Planned Organization Changes: The Department of Social Services organizational structure was altered to create a Division of Title XX services. Organizational change also occurred at the county level. This was not dictated by the state and varied by county.

3-4 UTILIZATION/IMPLEMENTATION

It was reported that 75% of all the service staff statewide is involved in delivering services resulting from legal mandates, and that there is limited planning flexibility for the remaining 25%. It was said that the planning process and implementation, therefore, is realistically a decision making process consisting of choices within the limited availability of dollars.

4. EVALUATION

No systematic or formal statewide child day care evaluations have been conducted

It was reported however, that an evaluation proposal is currently under review by the federal government.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

I & R is primarily a function of county departments of Social Services with practices differing by county. In Morgan County I & R is handled primarily as an intake function with all day care calls being routed to the day care worker. In Boulder County, a Volunteer Information Service provides I & R in addition to the county Department of Social Services. If an inquiry is likely to lead to a case opening, the call is routed to an appropriate service worker.

5-2 PROCESS

Assembling Information

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail
FIDCR Approved Centers	yes	monthly for metropolitan counties, quarterly for non-metropolitan counties	yes	no	no	no
Homes	yes	UNK	yes	no	no	no
In-home	no	--	--	--	--	--

The state day care consultants provide a listing of approved centers to metropolitan counties monthly. Non-metropolitan counties receive updated listings quarterly.

Information on Family Day Care Homes is assembled and maintained at the county level.

Provider lists include name, address, telephone number, type of care, ages of children, and maximum number.

Disseminating Information: At the state level there is no formalized outreach process. It is believed that it would be self defeating to undertake outreach at a time when funds will probably not be available for day care through the present program year. In the Denver area however, there has been a great deal of newspaper publicity on day care both on the financial crisis and on kinds of available care.

Information dissemination at the county level varies by county. Morgan County publishes a list of licensed facilities quarterly in the local newspaper. Boulder county distributes a pamphlet

"Choosing a Day Care Home." In addition, Boulder County sends a list of facilities to interested inquirers.

Assessing Client Need/Referral and Follow-up: County service workers assess client needs with specific practices varying by county. In Morgan County the assessment is based on a determination of the parent's job requirements (working hours, location, etc), the child's age, and parent preferences for type of care. Boulder county has a similar process.

Parents are involved throughout the assessment process. A list of facilities is provided and both counties encourage parents to look thoroughly at the options available. There is no follow-up unless the client requests it.

5-3 RESULTS (Boulder County)

Time period: 1 month

Number clients seeking child care referral	250
Number actively assisted	UNK
Number securing their own services	UNK
Number unable to secure services	UNK

No information and referral results were available statewide. In Morgan County, the total number of clients seeking I & R was also unavailable but it was estimated that 15-20 inquiries have been made over the past 3 months (exclusive of ADC inquiries).

In Boulder county a total of 250 requests were made in September 1975.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The state Office of Planning and Evaluation (within the Social Services Department) established the eligibility policies with input provided by Day Care Specialists. Direct implementation, from the securing of applications through the determination of eligibility, is the responsibility of county workers.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC - Non-WIN
- AFDC - WIN
- SSI
- Foster Care - Maintain Placement
- Income Eligibles, defined as single parents who are working at least 30 hours per week and who need day care to maintain employment.
  - Free care for persons earning up to 40% ($473/mo. for family of 4) of the state median income.
  - Sliding fees for persons earning from 40% to 65% ($768/mo.) of the state median income.
  - Full cost for persons earning over 65% of the state median income.

Revisions Since the Passage of Title XX: Intact families are no longer eligible for day care and parents pursuing college degrees (under a higher education program) are eligible only if in the final year of college.

Materials to Ensure Uniform Interpretations: The State Day Care Consultants developed a total eligibility package for statewide use. It includes a Social Services Application and Redetermination Form, Eligibility Information Sheet, Authorization (to be used in securing verification) Form, Client Notification Form, Social Services Agreement, and Social Services Face Sheet.

In addition, the Social Services Manual with general information and policies and specific day care eligibility policies and procedures was revised to reflect Title XX. Both Morgan and Boulder Counties have published procedures to reflect local practice. Forms were designed to allow maximum client participation in their completion.

6-3 PROCESS AND VOLUME

Applications: Standardized forms are in use throughout the state.

The applications are secured by county social service workers. No statistics were available on the total number of applications or the number of child care applications received. It was reported however, that child care is the highest volume service.

Eligibility Determination and Verification: The county social service workers complete the application and related forms in a face to face interview with clients. If the client is an AFDC recipient, this is verified against existing records. If the client is employed, there must be a verification of income. In most cases, the determination takes place in less than 15 days.

Parents make the primary determination in the selection of a provider.

Quality Control: All service recipients are required by Colorado law to promptly report in writing (within 30 days), all changes in their circumstances. A special form (Change in Circumstance Report) is given to clients which is used to notify county departments of changes affecting eligibility.

Redetermination of Eligibility: The redetermination is made every six months utilizing client redocumentation.

Appeals: Whenever clients are found ineligible, they are informed of the right to appeal. It was reported that client appeals have increased significantly since Title XX implementation (est. 25) primarily because some pre-Title XX categories are no longer eligible under Title XX.

6-4 PARENT FEES

For single parents who are working at least 30 hours per week and who need day care to maintain employment, fees on a sliding scale are charged between 40% and 65% of the state median. For persons qualifying under special needs, child abuse/neglect, developmental disablement, or adoption, fees are charged on a sliding scale between 40% and 80% of the state median.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state Department of Social Services is responsible for the development of licensing standards. A license is required for both centers and homes. Providers meeting FIDCR are placed on an approved list of providers for serving FFP children. In-home providers must be approved to receive the FFP.

All licenses are based on direct observation. With the exception of Denver County, the licensing studies for centers are conducted by the 8 licensing representatives within the state licensing unit. It was reported that each of the state licensing representatives completes about 75 center studies per year; 40-45 would be considered ideal. In Denver County, 4 licensing workers from the County Department of Health spend 25% of their time licensing centers under a contract with the state Department of Social Services.

The licensing studies for homes are conducted by County Social Service Departments. The approvals of in-home providers are also made at the county level. In Morgan County there is one 3/4 time day care worker who spends 50% of her time on licensing. Boulder County has one full time licensing worker. While the licensing studies for homes are conducted by county staff, the licenses are issued at the state level.

Staffing: The state licensing representatives must have an undergraduate degree and one year of related experience for employment. The present staff have backgrounds in child development, either as center directors or home economists. New workers receive a week-long orientation with a slow phase-in to job tasks. On-the-job training is provided and there is an annual workshop.

The county level staff have at least a B.A. degree. The amount of in-service training varies by county.

7-2 STANDARDS

Standards Development Process: The standards for centers were updated in 1973 and the study format was updated in 1975. An ad hoc Steering Committee, consisting of providers, consumers, state and local agency staff, and various professionals drafted the standards with input provided through a series of six general meetings. The draft standards were published and three public hearings were convened by an advisory committee appointed by the governor. The advisory committee made final recommendations to a state board.

The standards for Family Day Care Homes have been revised utilizing an 11 member advisory committee. The revised standards are pending state action. Currently, the state is operating under home standards formulated in 1966 and revised in 1972. In-home standards were updated in 1970.

Content of Standards:

Staff: child ratios

Ages	Current Day Care Requirements Under Waiver	Colorado State Licensing Standards	Cost Impact
Centers:			
6 wks - 2½ yrs	1:5	1:5	Approx. 25% increase
2½ yrs - 3 yrs	1:7	1:8	" 80% "
3 - 4 yrs	1:7	1:10	" 70% "
4 - 6 yrs	1:10	1:12(4 yrs) 1:15(5 yrs)	" 60% "
6 - 10 yrs	1:15	1:15	SAME
10 - 14 yrs	1:15	1:15	State standards must apply
Group Day Care Homes: This category not utilized			
Homes:			
Birth to 3 yrs	Five in total including day care mother's own children up to entering first grade. No more than two children under two years	No more than two children under 2 and no more than six children in total including the day care home's own pre-school children (up to entering first grade)	Estimate that the average reduction in the number of children per home would be two children. Income loss would need to be made up by payment of a rate sufficiently high to compensate for difference
Through 4 yrs	Six in total including day care mother's own children up to entering first grade		

Additional Components of Standards: The standards for centers also regulate policies, parent participation, records and reports, personnel requirements, child care services, health and medical care, the program, buildings and equipment, space and safety, and transportation. Separate standards have been specified for infant nurseries (6 weeks - 18 months) and toddler nurseries (12 months - 36 months.

Current standards for homes regulate the physical condition of the home, location, equipment, the day care parents, health, nutrition, discipline, safety, and record keeping.

COLORADO

Comparison of Standards With FIDCR: Colorado has operated since 1973 on a partial waiver of FIDCR. The waiver was granted for one year. An extension has been requested, but a response is still pending.

Colorado prepared an impact statement of the effects of full implementation of FIDCR upon the state program (see chart including staff: child ratios). It was reported that the "impact for day care center care is with respect to children 3 - 5 years of age. The state has 1404 children in this age group representing 65% of all FFP children in centers. It is estimated that full implementation of FIDCR for this age category would cost the state 70% more."

"Colorado had 215 day care centers and group day care homes that met FIDCR under the partial waiver to the state. It is anticipated that only 30 of the 215 centers will be able to meet the full requirements of FIDCR. Thirteen of the 30 centers are operated by the Mile High Child Care Association."

"The impact for licensed family day care homes is the requirement that the day care mother's own children under age 14 must be counted in the maximum quota of five (when a child under age three is in the home) or six when all children are three years or older. It is estimated that this requirement will affect between 70 and 80 percent of the day care homes. Colorado used 888 homes in July, 1975. These homes served 2103 children. The estimate is that FIDCR would result in an average reduction of two children per home. The increased cost to the state is estimated to be at least one-third for the same number of children." State personnel estimated that county departments use 2000 different day care homes each year.

It is believed that "there is a lack of sufficient evidence that quality day care is obtained simply by the addition of more adults."

Colorado proposes that the "federal government devise means of upgrading care, over a period of years, for all children in day care. This approach would be far superior to thrusting on states a double set of regulations (the state licensing regulations and the federal requirements). Such policy angers and confuses everyone, (private users, welfare recipients, providers, agencies, and the general public)."

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Tot. #	# Sanctioned	% Disq.	Planned	Actual
Public Centers	License	15	15	Unk	annual	annual
Private Centers	License	459	459	Unk	annual	annual
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes*	License/ Certif.	3,632	3,632	Unk	annual	annual
Relative In-home	FFP Approval	Unk	Unk	Unk	annual	annual
In-home						

* It was reported that there is no real difference between a license and certification of a home except the origin of the the regulatory document. However, a certified home is for use only by the certifying county. If a home wishes to provide care for a child from another source, it must obtain written permission from the certifying county.

Fees for License: A fee of $1.00 is charged for non profit centers. A fee of $5.00 is charged for proprietary centers and for Family Day Care Homes.

Content of License: The license for both homes and centers includes:

- date of issue
- period for which valid
- maximum number of children
- age range of children
- category of license and limitations

7-4 LICENSING PROCESS

Areas of Investigation: A structured format is utlized in conducting the licensing study for both homes and centers.

The licensing study for homes covers references, medicals for everyone in home, the caregiver's background and experience, type of discipline to be used, substitute caregivers, physical condition of the home, nutrition, play equipment, and activities planned for children.

The licensing study for centers includes the physical facility and safety features, the playground, equipment, supplies, the program component, administration, the director and staff qualifications, first aid, transportation. Center directors must have education in early childhood to qualify for a license.

Extent and Nature of Process: A center study requires about 8 visits. Two visits are made by the state licensing representatives; the remaining visits are made by fire, sanitation, and building inspectors. The licensing representatives generally determine whether a license will be issued or denied. For new centers the licensing process requires almost 3 months. Providers cannot begin serving children until the license has been issued.

It was stated that there are two counties in which compliance is difficult for centers because of a requirement that a fire alarm system be connected with the fire department. In Denver County, the requirement has been deleted for centers with fewer than 50 children.

It was reported that the qualifications for center directors are difficult for providers to meet. The state sees these qualifications as a key to quality care.

The licensing of a family day care home generally requires one or two visits. Both counties visited utilize group intake procedures using orientation materials provided by the state. In Boulder County, the licensing worker holds monthly meetings for people who are interested in becoming day care mothers. The worker describes the application process, rules and regulations, available resources, typical problems, and reimbursement processes for FFP children. The licensing process generally requires from 4-6 weeks.

It was reported that the intake meetings serve as a screening process. About half the potential providers attending the meetings apply for licensing. The applicants are given a packet which includes an application form, medical forms, and reference forms. When the forms have been completed and returned, the licensing worker conducts a study visit which takes about 1 hour.

Conditional Licenses: Provisional licenses are issued for a period of six months. The provisional license may be renewed for a period up to two years. It was reported that the most frequent reason for the issuance of a provisional license is to allow center directors to meet qualifications.

Revocations: Licenses may be revoked for cause. A hearing is required in every instance. One center license was revoked in 1975. There was no appeal.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Day Care and Licensing Units within the Family and Children's Service Section of the State Department of Social Services have primary responsibility for monitoring.

The two full time Day Care Consultants (within the state Day Care Unit) devote a significant portion of their time to monitoring. One consultant monitors centers; the other monitors county operations. The county monitoring consists of 3-day monitoring/training visits. Two days are spent in monitoring, in which recipient case records are read focusing on eligibility, the reason for day care, service agreements, the provider used, and the results of service. There is also an assessment of the county administrative system. The third day is spent in reporting findings and training. The visits are followed by written reports to the counties. Fourteen counties were monitored in 1974; four in 1975. Since 16 counties have 95% of the day care caseload, visits are concentrated in the high volume counties.

The Day Care Consultants work closely with the Licensing Representatives (within the state licensing unit). The Licensing Representatives conduct site visits to centers as needed to cover compliance with FIDCR. There is also a requirement that a visit be made within 60 days of the initial licensing.

In addition, county workers visit Family Homes in the course of casework activities, generally with regard to a child in care. The county workers are responsible for reporting, in writing to the state Day Care Unit, any compliance failures discovered in the visits.

Boulder county is planning for the utilization of volunteers for visits to in-home providers. The volunteers will obtain contract signatures and observe quality of care.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's*	Of All Contracted		
Public Centers	State Family Services Section	67%	100%	--	Annual Site Visits	3 hrs.
Private Centers		44%	100%	--		
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	County Social Service Workers	55%	100%	--	Annual	1-2 hours
In-Home	County Social Service Workers	Unk. Unk.	100%	--	Annual	Unk.

* Monthly paper monitoring is also conducted by the state Family Services Section for all FFP providers.

8-3 PROCESS

All FFP providers are monitored monthly utilizing the state's computer listing of number of children served. The effort is aimed at determining compliance with FIDCR staff:child ratios.

Areas covered in the monitoring of centers include FIDCR, state law and codes, and Civil Rights Compliance. There is a facility review form used for the latter area, and providers are given an Open Admission Policy Statement. The providers are also given a Statement of Understanding pertaining to FIDCR which is signed by the facility director (and owner and board chairman when applicable). The statement is maintained on file in the state Day Care Office.

A comprehensive evaluation form is utilized in conducting center monitoring. Following the monitoring visit, a letter is sent to the center specifying results and findings; specific areas of compliance and non-compliance are included. Monitoring methods include scheduled and surprise visits, phone calls, and mailed forms.

When non-compliance is discovered, the provider is given 30 days to achieve compliance. An unscheduled visit is then made. If the provider remains out of compliance, one further visit is made by the Day Care Consultant. If no corrections have been made, the provider is removed from the approved list of FFP providers, the county is notified, and children are re-assigned. The 30 day compliance period does not apply if the center fails to submit a renewal application for a license on or before the expiration date of the center's license. Centers failing to submit the application are immediately disqualified.

8-4 RESULTS

The combined monitoring effort - including paper monitoring, monitoring visits by the day care consultant and licensing representatives, and the county monitoring visits - results in the removal of 2 or 3 providers per month from the approved list of FFP providers. It was stated that the most frequent area of compliance difficulty is staff:child ratios. Record keeping, nutrition, and child supervision were also cited.

It was stated that staffing is insufficient to complete an adequate monitoring effort. It was estimated that 3 full time persons are needed for center monitoring to meet an ideal of 70 monitoring visits per year. Travel funds were also cited as a problem in the monitoring effort.

Technical assistance is given as a result of monitoring any time providers request it.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Licensing Unit Supervisor plays a key role in training and technical assistance. Central to the training and technical assistance effort is the maintenance of a large resource file and a subject area index to the file. The licensing representatives routinely carry the index on site visits and use it in technical assistance. Providers and county staffs can order materials from the file.

The supervisor of the Licensing Unit conducts monthly sessions for the licensing representatives. The areas covered in the sessions are dictated mainly by current need.

The licensing representatives are each assigned counties for which they provide training to both the county level licensing staff and the staff of new centers. The state day care consultants also provide training and technical assistance to county social service workers. Both the licensing representatives and the Day Care Consultants provide T & TA to the staff of on-going centers.

The state Licensing Unit coordinates 3-5 training sessions each year, open to all interested providers. Presenters for the sessions are drawn from multiple agencies and disciplines.

The state Department of Social Services has a Staff Development Unit of 12 people responsible for all agency training. It was not possible to determine how much time of the unit is directed toward child care.

There is no line item budget for training. The staff Development Unit controls funds available for training.

Local: The state level has taken most of the responsibility for the T & TA effort. County provisions for T & TA vary by county.

Staff Background: The state licensing representatives must have an undergraduate degree and one year of related experience for employment. It was reported that the present staff have backgrounds in child development either as center directors or home economists. New workers receive a week-long orientation with a slow phase-in to job tasks. On-the-job training is provided.

9-2 ACTIVITIES

Provider Training and Assistance

To Whom	By Whom	Description	Amount
All interested providers--workshops are offered in different locations around state and lunch is offered at minimal cost.	State Licensing Unit sets up--presenters are from many agencies and disciplines including pre-school directors, DSS staff children's hospital, etc.	Workshops--concurrent sessions on many topics including the Behavior or Young Children; classroom planning pre-school children and language development; muscles and movement, infant play and development, science experiences for the young child.	3 to 5 times yearly; 450-500 providers about 5% of them FDCH mothers.
New center directors and staff	State licensing representatives	Center Planning--T.A. to individuals and groups in how to establish a licensable quality day care center.	Unknown
On-going directors and staff	State licensing representatives and day care consultants	Direct observation followed by discussion and suggestions	Usually with each site

Staff Development

To Whom	By Whom	Description	Amount
Licensing Representatives	State Licensing Unit Supervisor	Day-long sessions--content dictated by current need. Half of the time is devoted to procedural and regulatory matters.	Monthly
County licensing workers	State licensing Representatives	Dictated by current needs	As much as time permits
County Social workers in day care	State Day Care Consultants	Planning and placement in child care	As requested and during monitoring visits

The state licensing representatives also make presentations to various universities and colleges throughout the state that offer classes in the day care field.

In Boulder the Department of Social Services has obtained funding from the city, county commissioners, and the United Way to pay for provider training. The training is oriented particularly at Day Care mothers. The Certificate Program for Family Day Care mothers is funded by the city council. The first two classes in a series of 10 trained 16 mothers each. Four similar programs have been funded by the county commissioners. Boulder county has also been instrumental in setting up a County Day Care Mothers Association and another organization called Boulder Resources for the Education of Young Children.

In Morgan County a two day workshop was held for county workers on regulations and administrative procedures. The department also has coordinated a first aid certification program with the Highway Patrol providing instruction. In addition, a series of sessions were conducted for day care mothers who were interested in caring for neglected or abused children.

9-3 PROCESS

T & TA needs are generally identified through monitoring visits, provider requests, and discussion in previous training efforts.

The provider type identified as needing the most T & TA was Day Care Mothers. It was reported that the county licensing staffs also require training and that the licensing representatives need training in "how best to use themselves in the consultant role."

The most requested areas of training by providers include child behavior, adult-child interaction, and nutritional and health needs.

9-4 RESULTS

There is no formalized follow-up for the T & TA effort.

It was reported that providers have been enthusiastic about training. The resource materials made available by the state office is highly effective, practical, and useful. The materials are also widely used by colleges. Some of the materials have been translated into Spanish.

The major constraints upon the T & TA effort is staff. State personnel would like to have a full-time trainer.

9-5 PRINTED MATERIALS

The state has developed a resource file with over 100 titles. Representative titles include: "Criteria for Selecting Play Equipment," "Activities for Young Children," "Discipline - Children or Adults," "Sources for Storytelling," "Indoor & Outdoor Games," "A Guide for Planning Food Service," "Fire Precautions in Nursery Schools."

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure

State: Within the state Department of Social Services, fiscal management is shared by the Office of Planning and Evaluation, The Office of The Budget, The Office of Accountings, and the Day Care Unit.

Local: It was reported that fiscal management varies by county with the county director having ultimate responsibility. In Morgan County, the day care worker and a senior clerk typist are responsible for day-to-day expenditures. The county director prepares the budget based on historical data and input from the day care worker and supervisor. Boulder county has a Supporting Services Division responsible for fiscal management. The county director prepares the budget with input from the day care staff.

Function: The state level is responsible for the overall statewide budget and justification and for expenditure control. It was reported that the edit and audit functions in day care billings consume the greatest amount of time.

The Office of the Budget has primary responsibility for state budget compilation and presentation, and for ongoing assessment of expenditures in relation to appropriation and for requests for supplemental appropriations. The Office of Accounting has primary responsibility for compilation of expenditure data and for monitoring of fiscal reports. This office provides the Office of the Budget with expenditure figures. The management and information unit provides the other units with computerized management information. This data is used by the Day Care Unit to determine caseload size by assistance category. This data is applied to the expenditures by assistance category by the Day Care Unit, which transmits such data to the Office of the Budget monthly. The Day Care Unit currently monitors all day care monthly billings with respect to provider requirements and submits a list of non-compliance billings to the Office of Accounting.

Counties are responsible for county budgets and for the correctness of vendor billings and payments to providers.

10-2 FISCAL MATERIALS

The state office has published revised and updated Reimbursement Policies, including line item instructions for forms. The counties have prepared policy and procedures to allow local functional differences.

All forms and materials were clear and complete.

10-3 INCOME SOURCES

Source	Amount/%	Amount/%
Title XX/IV-A	$6,164,908 (87%)	$7,650,087 (89%)
WIN	596,966 (8%)	595,973 (7%)
CWS	324,647 (5%)	312,085 (4%)
Other:	None	None
TOTAL	$7,086,521	$8,558,145

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (contracted facilities)	$1,978,797
Vendor Paid Facilities	5,107,724
Direct Provision/Operation	None
Client Purchase, with social service reimbursement	None
TOTAL	$7,086,521

Description of Funding Methods/Processes

A. Purchase of Service: Colorado had one large scale Purchase of Service contract with The Mile High Child Care Association for Denver County. This type was discontinued for calendar year 1976. Presently, all services are vendored. Purchase of service forms have been developed for all provider types. The form contains a description of the service to be purchased (type, number of children, hours and days of week, and rates to be paid), county obligations, and provider obligations (including Civil Rights Statement and FIDCR), and the termination date.

B. Direct Provision: None

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement: per hour (for 10 hour day), Morgan County; per day, Boulder County.

Provider Type	Rates		
	Basis	Morgan County	Boulder County (average rate)
Public Centers	Based on Prevailing Community rates	.55 hr	5.28 per day (4.77 per day small centers)
Private Centers			
Family Day Care Homes	" "	.55 hr	4.79 per day
Group Day Care Homes	THIS CATEGORY NOT UTILIZED		
In-home	Based on Prevailing Community Rates	.40 hr-1 child .55 hr-2 children .65 hr-3 children .05 hr-each addt'l child	4.36 per day (3.50 per day relative care)

10-6 IN-HOME CARE

In home care can be provided by a relative or non-relative. Contracts are signed for in-home provision and payments are vendored.

10-7 INCOME ELIGIBLES AND PARENT FEES

Single parents who are working at least 30 hours per week and who need day care to maintain employment can earn up to 40% ($473/mo. for a family of 4) of the state median income and receive free services. Fees, on a sliding scale, are charged between 40% and 65% 65% ($768/mo.) of the state median. For persons qualifying under special needs, child abuse/neglect, developmental disablement, or adoption, fees are charged on a sliding scale between 40% and 80% ($946/mo.) of the state median.

10-8 DONATIONS

Denver County received $138,000 from The Mile High United Way for FY 1975. It was reported that donated funds were minimal in other counties.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered

Description of Administrative Structure: The Department of Social Services (known as the Connecticut State welfare Department until it was renamed in March, 1975) is the designated Title XX agency. This agency has responsibility for the administration of all social service programs, including child care. There is one Day Care Consultant at the state level, with primary responsibility for statewide administration, including setting child day care policies and overseeing the child day care functions of the seven District offices of DSS. The latter have responsibility for eligibility determination, licensing all family day care homes, and monitoring all home-based care facilities in which there is FFP.

A second agency, the Department of Health (DOH), is responsible for licensing all institutional facilities, including all child day care centers -- both public and private. There are 5 licensing workers and one public health coordinator assigned to this task.

A third agency, the Department of Community Affairs (DCA), has a special child care unit comprised of 8 full-time staff members. DCA provides grants to local communities for the operation of day care centers by delegate agencies. Under an agreement with the DSS, the Department of Community Affairs administers 81 public centers as delegate agencies. With the exception of licensing (which is handled by DOH), DCA performs all functions in relation to these agencies.

A fourth agency, the Department of Education, houses the 3 Early Childhood consultants who have significant statewide responsibility in the areas of planning, evaluation, staff training and consultation.

Fiscal management is performed by the fiscal unit within the DSS. It is here that the checks are actually issued. For the 81 centers funded by DCA, state funds are advanced to the centers quarterly by DCA, DCA then bills DSS for that portion which is federally reimbursable. The State DSS has also signed agreements with municipalities for the funding (or sub-contracting) of day care facilities originally established under Model Cities programs; in this case, payment is made by DSS to the municipality. In all other instances, DSS issues checks directly to the parents who are assistance recipients, and they purchase their own care.

The Connecticut site visit was conducted in February, 1976. Interviews were held with officials at the state office and staff members at the Norwich District office.

Of the three state agencies involved in the funding, licensing or administration of child day care, the DSS has District offices and the DOH has Regional offices. There are 7 District offices and 1 sub-office of the DSS, staffed by a combination of income maintenance, WIN and social service workers. The income maintenance workers have responsibility for client intake and eligibility. The social service workers are responsible for all social services. Within the social service staff in each district is a day care specialist and a day care aide. The day care aides are paraprofessionals, generally AFDC mothers. Altogether, there are 7 district Day Care Specialists and 9 Day Care Aides in the DSS. Together, they license all Family Day Care Homes. Three of the five DOH licensing workers (they have center licensure responsibilities) work within the DOH Regional offices.

In addition to the agencies having direct responsibility for child day care management, there is an advisory group, the Child Day Care Council, which was established by the legislature. The mandated responsibility of the Child Day Care Council is to develop child day care center regulations and recommend them to the Public Health Council for approval. On the recommendation of this Council, a special coordinating body, a state Office of Child Care, was established by the Governor to: develop statistics, plan for a more integrated system of managing child care, and act as a clearinghouse for child care information. The Office of Child Care is independent of the state agencies and staffed by two professionals.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	Allocation of Funds	
	FY 74-75	FY 75-76
Total Social Services Allocation	$70,771,489	$62,232,128
Total Child Care Allocation	9,413,682	10,748,340
Percentage of Total Social Services Funds Allocated to Child Care	13%	17%

The 75-76 Allocation reflects the total estimated expenditures for eligible social services for the 12 months from 7/1/75 to 6/30/76. This includes $13,232,128 in excess of the imposed ceiling, which will not be federally matched. Actual expenditures have exceeded the federally matchable gross for each of the preceding two years as well.

The total day care allocation for 75-76 is a projection to 12 months of the total shown in the plan (based on a 9-month program year total of $8,081,459). All day care, for adults as well as children, is included, although Day Treatment is not. The 1974-75 figures are actual totals (the social service allocation was taken from the Title XX plan and the day care total was provided by the respondents interviewed). The proportion of funds allocated to day care is exceeded only by the funds allocated to counseling.

The proportion of total social service staff time allocated to child care was estimated at less than 10%.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Providers	Number FFP Children	Expenditures	
			FY 74-75	FY 75-76
Public Centers DCA-Funded	81	1,701	$4,593,138	$5,038,816
Public Centers DSS-Funded	9	347	471,473	1,560,947
Private Centers	152	Unk	No breakdown is available ($4,349,071)	No breakdown is available (4,631,075)
Family Day Care Homes	1,899	1,782		
Relative's Homes & In-Home Care	1,940	5,346		
TOTAL	4,081	9,176	$9,413,682	11,230,838

The 81 DCA-funded centers serve a total of 3,256 children; the 1,555 non-FFP eligibles served in these centers are supported by non-Federally-matched state funds. The DSS-funded centers (once Model Cities) serving virtually all FFP-eligible children, are to continue under the administrative auspices of municipal governments. The municipalities' 25% share now comes from HUD Community Development Act funds.

There are an additional 559 private centers providing part-day care and 29 licensed Head Start centers. These are being excluded from the preceding chart since they are not open long enough to provide child care for the children of working mothers. Nonetheless, they do contribute to the volume of work which must be performed by licensing workers and other management personnel.

Group Day Care homes do not exist as a separate provider category, but are included with centers.

In all instances, except to publicly-funded centers, child day care payments are made directly to the parents who in turn purchase care from private centers, family day care homes and in-home providers. A precise breakout of the types of care which parents purchase could be secured only through a case-by-case study of district records. Less than 50% of the child day care funds are expended for parent purchase; yet, this method accounts for more than 80% of the children served.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records & checklists	yes	Varies	local
Standardized social service forms	New, as of 10/75	Unk	Copy for provider; copy for State Control Unit.
Computerized records	Being developed		

There are few statewide forms so that many districts have developed their own narrative or checklist forms (frequently based on previously-used state forms). These records are generally kept at the district level and include child's name and age, provider's name and nature of service, and relevant eligibility data.

A new standardized form for use by providers was issued in October, 1975. This form covers general identifying data, eligibility information, and all required social service reporting elements. It is prepared in triplicate and one copy is forwarded to the state. WIN reporting is uniform throughout the state.

Data Aggregation: While most data has in the past been maintained only at the district level, it was noted that the Research and Statistics Section of DSS has the capability for handling more data and more complete data aggregation at the state level is planned. The newly developed form will serve as the basis for state-wide data collection and aggregation.

1-5 STATUTES

None other than the DCA, DOH and DSS regulations, the state and local fire and safety codes.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Problem - The major identified problem was the severe shortage of DSS administrative staff resulting from a lack of available state funds for child day care. Virtually all of the allocated state funds go to the Department of Community Affairs for the funding of 81 centers. This enables the DCA to provide monitoring, training and technical assistance, and other services to their centers which the DSS cannot offer to the private centers and home-based providers for whom they are responsible.

Strength - A unique feature of this state's system is the direct payment of social service funds to all parents, except those served in the 90 publicly-funded centers. The parents then purchase their own child care from private centers and home-based providers.

The cooperation among the multiple agencies involved in child care (with the exception of DCA) was cited as a program strength.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

The Title XX inter-departmental planning team undertook a limited needs assessment as part of the overall planning process, based primarily on information secured in the course of previous studies.

The major prior effort at needs assessment was a survey of 70 Community Development Action Plans, completed in 1970-71, and representing the expressed needs of citizens in these communities for all social services.

In addition, program and statistical data was available from the Connecticut Coordinated Services Project which has been in operation since 1971. (Note: Even though data is still available, CCSP went out of existence with the implementation of Title XX in October, 1975.)

Scope: The prior studies utilized in the needs assessment were both client and program oriented and inclusive of all social services. No special effort to secure child care information was deemed necessary since information on the number of children on waiting lists was already available.

2-2 PROCESS

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensively Utilized	Connecticut Coord. Service Project Data; information from Community Development Action Plans; information supplied by the state information & referral service
Agency Personnel	Utilized to a limited extent	State agency and district office inputs were requested, based on records and knowledge of advisory boards
Community Agencies	"	Meetings held with public and private agencies
Service Providers	Utilized to very little extent	To the extent that they participated in agency meetings (number participating is not known)
Consumers and Gen'l Public	Not utilized	---

2-3 RESULTS/UTILIZATION

Specific numerical results were generated in relation to:

- client type
- objectives

The geographic area was simply defined as "statewide"; DCA indicated that the agency had data from a 1972 day care needs assessment study which might have been (but was not) used to develop more specific plan for individual communities.

Essentially, the plan proposed that the existing services be continued, and that some added provisions be made for income eligibles.

Since the ceiling has already been reached and no additional funds are available, and since there are always waiting lists for service, it was felt that information about needs could not really be utilized in planning. Nonetheless, a more comprehensive needs assessment approach is being planned for next year.

The impact of needs assessment data on Title XX planning was almost nonexistent. The same services were maintained, although overall numbers increased with the inclusion of income eligibles.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: Prior to Title XX, there was no department or division specifically responsible for on-going planning.

Title XX Planning: The Department of Social Services (DSS), has administrative responsibility for Title XX planning. Shortly after its designation, DSS moved to strengthen its planning capability by organizing an interdisciplinary, interdepartmental team. This planning team was comprised of staff from DSS, the Planning and Budgetary Division of the Department of Finance and Control, the Council on Human Services and the Department of Planning and Energy Policy.

Staffing: Planning took place between March and September, 1975, but the time spent, in terms of person days, is not known.

3-2 PLANNING PROCESS

Past planning focused on the development of budgets for submission to the legislature. This budgetary planning and approval process for FY 75-76 (begun in the spring of '74) was virtually completed by the time the Title XX planning process was begun, so that specific planning could not be done before the proposed regulations were published. It is hoped that the Title XX planning process will be more closely coordinated with the budget process in future years, since there will be considerably more lead time.

Carrying out the "complex requirements of the Title XX law" is seen as a demanding process and extensive efforts were made to involve all relevant personnel.

WIN and IV-B projections were given full consideration in the development of the Title XX plan. Interface with WIN was facilitated by the completeness of WIN reporting.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total number to be served	yes	yes	7,360	15% more
Population Categories to be served	yes	yes	AFDC - 4,307; SSI - 178; income eligibles	more
Priority Population groups	no	no	---	--
Service Provider Types	no	no	---	--
Special Provider attributes	no	no	---	--
Geographic Areas	yes	no	Statewide	same
Dollars Allocated for service	yes	yes	$10,748,340	more

The Plan does not distinguish between child and adult day care.

Planned Organizational Changes: none.

3-4 UTILIZATION/IMPLEMENTATION

The total number of children to be served & the dollar allocations have both been increased, to accommodate the addition of income eligibles.

4. EVALUATION

4-1 ORGANIZATION

No systematic or formal statewide evaluations of child day care have been conducted.

However, there are evaluations conducted of the 81 DCA-funded centers and the 9 DSS-funded centers.

The Education Specialist in the state Day Care Unit of DCA performs evaluation studies of the 81 DCA-funded day care centers. Evaluation of the 9 DSS-funded centers are performed by the Child Day Care Consultant, DSS, with some assistance from the Day Care Specialists and with the cooperation of the DOH and the State Department of Education. Each of the 5 day care programs (9 centers) has also received evaluation and follow-up consultation from another source -- a local committee appointed by the City or the Board of the delegate agency, a specialist in the field of early childhood education, or a consultant from a private agency (such as the CWL of America).

There is also a detailed evaluation instrument used by Early Childhood Consultants in the state Department of Education as they work with staffs of public and private day care centers in analysis and improvement of their programs.

4-2 ACTIVITIES AND PROCESS

Approximately 50% of the public centers have been evaluated. Selection of centers to be evaluated is based on need, "expressed or observed" during the quarterly monitoring visit.

The evaluation consists of a statement of process objectives and a structured observation guide pertaining to:

- Developmental goals for enrollees
- Teacher characteristics and behavior
- Curriculum
- Classroom organization
- Social services (DSS-funded centers)
- Health services (DSS-funded centers)
- Program with parents (DSS-funded centers)

The evaluation takes at least one full day per center.

4-3 RESULTS

Based on these observations, providers were characterized as deficient in the following areas; i.e., they were reported to have:

- " Unrealistic expectations for pre-schoolers
- An inability to plan developmentally appropriate activities
- An inability to structure supportive, success-oriented learning environments
- An inability to administer programs so as to achieve most effective and efficient utilization of space, staff, resources and talent
- An inability to plan and execute meaningful and on-going strategies for program evaluation and re-design ... "

Utilization of Findings: The evaluation findings were used to determine specific areas for technical assistance and training, not only for individual centers but for the entire unit of state day care centers. Specifically, it has resulted in the development of a training proposal for center personnel, to be funded with Title XX dollars. In accordance with the foregoing, five areas of greatest need were isolated and six specific goals for the training program were outlined.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Information and referral is not a special program; it is a service performed by the District Office staff. Anyone in the community who contacts the District Office and requests information or assistance in securing child day care is referred to the Day Care Specialist or Day Care Aide. SAU-WIN staff, income maintenance workers, and preventive service workers also refer clients to the Day Care Specialist when a need for child day care is identified.

5-2 PROCESS

Assembling Information: Day Care Specialists in each of the District Offices assemble and update information on resources in their geographic areas.

Information			Information Compiled			
Provider Type	Systematized	Freq. of Updates	Ages	Hrs.	Cost	Avail.
Centers	Yes; a card file is maintained by town and type of care	monthly	yes	yes	yes	yes
Family Day Care Homes		monthly	yes*	no	no	yes
In-home	No listing of providers is maintained.					

*This specific information was provided by one district office. While slightly varying approaches may be used elsewhere, some version of this exists in each of the seven districts.

Disseminating Information: Newspaper stories (articles and flyers, placed in laundromats and other highly-frequented locations, are used by the District office to publicize family day care homes (and to inform family day care providers about the need for licensing). In addition, some individual centers have distributed their own publicity materials.

Assessing Client Need: For AFDC recipients, the first determination that child day care is needed is made by the income maintenance worker or WIN counselor, generally based on the client's assertion that he/she is working or in training. After the need for child care is ascertained, the client is referred to the Day Care Specialist. Non-recipients go directly to the Day Care Specialist.

The Day Care Specialist provides information on the resources available and the client makes the selection, based on the information provided.

Referral and Follow-up: There is no systematized placement and referral process, except in the case of WIN clients, where follow-up is done by the WIN counselor or Day Care Specialist.

5-3 RESULTS

No estimates of the number of I & R requests made in the state were available.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The Department of Social Services (DSS) establishes the policies and regulations that pertain to client eligibility for Title XX child day care services.

6-2 POLICY PROVISIONS

Eligible Population Categories for the 9 DSS and 81 DCA-funded Child Day Care Programs:

- Child is currently in AFDC and/or Title 19 Medicaid Program
- Gross annual income of child's family does not exceed 115% of the state's median income as adjusted for family size

  Free day care services are provided to those families whose gross annual income does not exceed 40% of the state's median for a family of four, adjusted for family size (i.e., for a family of 6, the gross annual income may not exceed 37% of the state's median income).

  Sliding fees have been established for families earning up to 115% of the state's median incomes as adjusted for family size. There is a standard day care fee schedule for Title XX-eligible clients which is used only in the 9 DSS and 81 DCA-funded centers and income eligible clients are only placed in these 90 centers, dependent on availability.

Eligible Population Categories for All Other Child Day Care Facilities (Private Centers, Family Day Care and In-home Care):

- Child is currently in the AFDC Program, with the additional qualifying conditions:

  Parent is working or in job-training or
  Parent is ill and unable to provide full-time care for child or
  Parent is absent from the home or
  Child is mentally retarded and there is no other adult in the home to provide child care.

Priority is given to AFDC families, and projections indicate that approximately 60% of child care service recipients in the 9 DSS and 81 DCA-funded child day care programs will be children of AFDC recipients.

Note: Since the DSS is the designated Title XX agency, all Title XX funding is channeled through DSS, to both public and private child day care facilities. The 9 DSS-funded child day care programs mentioned above are those that are administered by municipalities, hence public centers.

Revisions Since the Passage of Title XX: None.

Materials to Ensure Uniform Interpretation: There are extensive guidelines and instructions to aid intake workers in determining eligibility for day care services. There is also a printed fee schedule based on family income as adjusted for family size for use in the public DCA and DSS-funded centers only.

6-3 PROCESS AND VOLUME

Applications: In the 9 DSS and 81 DCA-funded centers, applications are secured by the provider agency. In all other cases, applications are secured in the DSS District Offices by Income Maintenance worker, WIN worker, or Preventive Service worker. When potential income eligible clients come directly to the D.O. seeking child day care services, they are referred to the DSS or DCA-funded centers.

Eligibility Determination and Verification: In the 9 DSS and 81 DCA-funded programs the determination of eligibility is made by the provider agency, as per contractual provisions. The client completes the application and the provider determines eligibility. In DSS-funded centers, the child must be eligible for DSS full or partial subsidy. In DCA-funded centers, a small number of children may be enrolled who are not eligible for, and will not receive, DSS subsidy.

In all other cases, determination of eligibility is made in the District or sub-District Office by the IM worker, WIN worker, or Preventive Service worker in conjunction with the Day Care Specialist (DCS). The DCS is available for consultation related to needs of child and family, appropriate type and availability of service, and whether or not there is a fee for AFDC recipient (none in DCA and DSS-funded centers). The District Office must approve the child care plan, the fee, if any, and must authorize the payment.

At the time of the initial screening, appropriate documentation must be presented and the client's AFDC status or income is verified.

A maximum of 30 days is allowed for Title XX eligibility determination, but it generally takes about 3 weeks. The client may begin to receive services as soon as the application is approved.

Quality Control: No documents need be submitted between the initial determination and the redetermination of eligibility, but clients are required to report any changes in status or earnings.

For clients who purchase their own child day care with social service funds, there is a requirement that the provider verify receipt of the payment (this procedure will be further discussed in the Fiscal section). While this doesn't bear directly on the continuing eligibility status of the client, it does serve to verify the continued use of child care services.

Redetermination of Eligibility: Conducted every 6 months, using the same procedure as in the initial determination, by the provider agency or District Office worker who initially determined the eligibility.

Appeals: If clients are found ineligible, they are informed of the appeal procedures. No estimates of the number of appeals made this past year could be ascertained.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: All public and private day care centers are licensed by the state Department of Health, Division of Maternal and Child Health. Some ancillary inspections are performed by the District Health Director. DOH has responsibility for licensure of all of the state's institutional facilities, and, as was noted, it is separate from the Title XX agency (DSS).

Licensing of family day care homes is the responsibility of the Department of Social Services (Title XX agency). This function is performed at the district level, by the Day Care Specialist, assisted by the Day Care Aide.

Staffing: The Department of Health has 5 licensing specialists under the supervision of a Program Coordinator. They receive regular assistance in their licensure functions from local health department inspectors. Together these specialists license 830 centers every two years (the 830 centers include 81 funded by DCA, 9 DSS-funded, 152 private centers, 559 part-time private centers and 29 Head Start centers). Note: Other Head Start programs, administered by a local Board of Education, are exempt from licensure.

There is usually one Day Care Specialist and one Day Care Aide in each District Office (currently there are a total of 16 persons in all District and sub-District offices combined) who perform licensing functions for family day care homes. These 16 staff license 1,899 family day care homes presently, as well as performing all other functions relating to home-based providers (i.e., monitoring and technical assistance, referral and assistance to clients).

Licensing specialists have the authority to recommend issuance, denial or revocation of a license.

DSS Day Care Specialists and DOH Licensing Specialists must have an M.A. in child development or social work, or 6 years of professional experience in day care, or an equivalent combination of schooling and experience. On-job training is given for the first 6 months.

7-2 STANDARDS

Standards Development Process: Center standards are part of the Public Health Code Regulations. The general procedure of revising standards is as follows: licensing staff, center operators, community people and/or consumers make suggestions to the Day Care Council, and this council then recommends them to the Public Health Council, which acts on the recommendations. This procedure was utilized in making revisions in the standards in 1972. At other times, changes are initiated by the Department of Health, for health-related reasons.

There are revised standards for day care centers (1972) and standards for family day care homes (1970).

Content of Standards

Staff-Child Ratios

Centers:	Program Staff Ratios are shown as "deleted" -- the only stipulations are that infants under 4 weeks must not be admitted to centers and that there must be at least one child care person for each 4 children under three years of age.
Family Day Care Homes:	The total number shall not exceed 4, except when 5 or more are of common parentage, in which case the total shall not exceed six. Not more than two children under two years of age including her own children, shall be cared for by a day care mother unless a competent, full-time adult is present to care for not more than two additional children under two years of age.

Additional Components of Standards: The Public Health Code regulations (Sec. 19-13-015) for centers cover: licensing requirements, specification that there be "adequate" qualified staff (high school graduation or equivalent, with personal qualities for working with children; no ages specified), records required, facility characteristics necessary for health and safety and program elements (including education, nutrition and health). In addition, there are several special items pertaining to the care of infants.

The Connecticut State Welfare Department (now DSS) licensing requirements for FDCH's cover: Provider characteristics, specific requirements for care of the child, health and safety requirements for the home, and neighborhood characteristics.

Comparison of Standards and FIDCR: The main differences between Connecticut's center standards and FIDCR are: the absence of staff-child ratios; lack of specification of the groups to be served; and omission of standards relative to parent involvement and evaluation. Those areas which are covered approximate FIDCR standards; some facets (e.g., square footage requirements) are more explicit.

FFP-eligible children are placed either in public centers (which are required to meet FIDCR standards) or in private day care centers or family day care homes which have been certified as meeting FIDCR standards.

DSS-funded centers serve FFP eligible children only, whereas DCA-funded and private centers serve a mix of eligibles and non-eligibles. No figures were provided on the number of private centers which have been certified.

Note: DSS requires that FIDCR be met by centers it funds and by family day care homes and private centers which serve FFP children. All must also be licensed or approved as meeting the licensing requirements (if exempt from licensing).

DCA has extensive requirements which must be met by centers receiving DCA grants. These include a 2:15 staff/child ratio and criteria pertaining to group size, parent involvement, evaluations, etc. They also must be licensed.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required*	Providers			Renewal Freq.	
		Total #	% Lic.	% Disq.	Planned	Actual
Public Centers	License	81 9	100%	unk.	2 yrs.	2 yrs.
Private Centers	License	152 FT 559 PT	100%	unk.	2 yrs.	2 yrs.
Family Day Care Homes	License	1899 Licensed	unk.	23%*	Annual	Annual
In-home	NONE: Registration is under consideration					

*This figure is based on the estimate provided by one district, as follows: 160 applications received; 27 withdrew; 8 were denied; and 2 were revoked (withdrawals as well as denials and revocations are included in the computation of percentage disqualified).

Fees for License: Day Care Centers: $25 for 2 years; $15 for a 6 mos. temporary conditional license. Family Day Care Homes: No fee for license.

Content of License: Licenses for both centers and homes include:

- date of issue or expiration
- period for which valid
- maximum number of children to be served

7-4 LICENSING PROCESS

Areas of Investigation: based on state standards and include:

- facilities' physical characteristics
- provider characteristics
- education component (centers only)
- health component
- medical clearances, for staff and children
- provisions for handling handicapped children

Extent and Nature of Process: Centers - There is a structured format for conducting a licensing study, covering the items enumerated above. A licensing study requires 3-6 visits, including visits by the state's licensing worker and the local health department. A complete study takes an average of one month. Delays in issuance of a license are generally caused by poor financing, poor location or delays in the local fire marshall and/or health department's compilation of the final inspection. According to statute, a provider may not begin serving children until the license is issued and received; in practice, however, verbal approval may be given prior to actual issuance of the license, if all fire, safety and zoning requirements have been met and the license fee paid.

Family Day Care Homes - A structured format (consisting of a checklist and associated guide) is used by the District Day Care Specialist (and/or Day Care Aide) in conducting a home study. Some information is submitted by the provider who completes an application prior to the site visit, and generally only one site visit is needed. There are usually no zoning restrictions to impede issuance of a license, although a special use permit is sometimes required. Fire inspections are required only if the facility is on the third floor or above. The primary factor causing delays in the issuance of FDCH licenses is the heavy workload of the Day Care Specialists. As noted earlier, the 16 Specialists and Aides licensed 1,899 homes last year, in addition to their other responsibilities; and it is estimated that almost 1,000 more are pending.

Any family day care home that accepts a non-related child for three or more hours a day on a regular recurring basis, whether for free or for compensation must be licensed. No FFP children may be served by an unlicensed facility unless it is exempt from licensure and has been approved as meeting the licensing standards (e.g., Head Start programs administered by local Boards of Education).

Conditional Licenses: Conditional or temporary licenses are issued for a six-month period, with one renewal; for centers only. Of the 830 centers which were licensed in 1975, 32 were issued conditional licenses. Primary reasons for issuance of a conditional license include:

- parents are slow in getting children's medical clearances completed
- delays in securing equipment and program development, especially for new programs
- location changes and/or problems of facility
- staff changes

Revocations: Revocation is recommended in the case of child abuse or other serious violations. The procedure consists of a notification of intent to revoke and information on the right of appeal, followed by legal action. In the very few instances where this has occurred, the providers closed down before charges were pressed.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Theoretically, all centers are to be monitored by the 5 licensing workers in the Department of Health, as an integral part of their licensing activities (licensing of centers occurs every 2 years and the intent is to monitor every center at least once between license renewals). In practice, however, the caseload of 830 centers for 5 workers makes this virtually impossible. The monitoring of the 81 DCA-funded centers has therefore been delegated to the 8 Day Care Specialists in the Department of Community Affairs (which funds these 81 centers), making it possible for these centers, which comprise about 10% of the total number of centers, to be systematically monitored quarterly. The monitoring of the 9 DSS-funded centers is the responsibility of the DSS Child Day Care Consultant. They are monitored semi-annually.

Monitoring of family day care homes is the responsibility of the DSS Area Day Care Specialists. Except in response to complaints or requests, there is no monitoring separate from the annual relicensing study.

8-2 MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored	Frequency	Av. Time Per Unit
Public Centers				
81 DCA-funded	DCA Day Care Specialists	100%	Quarterly	2-4 hrs.
9 DSS-funded	DSS Day Care Consultant	100%	Semi-Annually	2-4 hrs.
Private Centers	DOH Licensing Workers	30%	Annually or Less	2-4 hrs.
Family Day Care Homes	DSS District Day Care Spec.	Unk.	Annually or Less	Unk.

As previously indicated, the DOH licensing specialist and DSS Area Day Care Specialist have other major responsibilities and very large caseloads so that the extent to which they are able to monitor private centers and day care homes is very limited.

8-3 PROCESS (for the 90 public centers only)

Areas investigated in the monitoring of public centers include: advertised curriculum (including lesson plans and quality of instruction), evaluation of the children, demographic characteristics of parents, staff and children, adequacy of physical facility in meeting children's needs, social services, health services, parent involvement, staff development, and relationship with other agencies. There is a checklist format for rating strengths and weaknesses in each of these areas, and the report is shared with the center director before it is filed. Site visits comprise the dominant strategy, although telephone contacts are also maintained.

8-4 RESULTS

Areas of greatest compliance difficulty for the public centers include administration, fiscal management, and parent involvement (the latter due primarily to parents' time constraints). Very few public centers remain out of compliance for any period of time, because technical assistance is provided promptly in all areas of difficulty.

The foregoing is not applicable to private centers or family day care homes where monitoring is generally undertaken as a separate activity, (e.g., only in instances where there are special problems or complaints). As a general rule, these programs are "monitored" as a part of the relicensing study only.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Department of Community Affairs (DCA) day care staff provides extensive training and technical assistance to the 81 public centers which they fund. In addition, DCA is proposing an expanded training program, using Title XX funds.

The DSS Day Care Consultant provides extensive program consultation and technical assistance to the 9 DSS-funded day care programs. Because the DSS day care responsibilities are much broader than that of the 9 programs funded through contracts, the consultant must assist the 9 centers and other day care providers which are receiving FFP in determining their training needs and finding the appropriate training resources. The consultant cannot lead training sessions in individual centers. Instead, activities include:

- Consultation to individual programs and agencies relative to staff development plans and resources
- Approval of staff development as an important budget item in DSS-funded centers and counseling with them on its use
- Consultation with 2 and 4-year colleges and universities, other training centers, professional and community organizations and agencies, the University of Connecticut Extension Service, and other state departments in understanding day care training needs and providing a variety of courses, workshops, etc. throughout the state. Also, technical assistance in preparation of proposals for Title XX training grants
- Assumes leadership in statewide or regional workshops, conferences, etc.

The DOH licensing specialists provide extensive program development consultation and technical assistance to centers making application to be licensed. They also draw other local or state specialists into this "learning" process.

Other DOH Public Health Specialists (e.g., nutritionists, PH nurses, lead poisoning experts, etc.) as well as the licensing specialists and supervisor assume planning and leadership roles toward state and regional workshops, conferences, etc.

The State Department of Education has on its staff 3 Early Childhood Education Consultants and 2 Child Nutrition Consultants who spend a major part of their time in efforts related to child day care services training and consultation.

The Early Childhood Consultants initiate a vareity of training opportunities accessible to day care providers in all parts of the state. Providers are drawn into the planning.

Local: District Day Care Consultants provide limited technical assistance to private centers and home providers, where needed. Coordination of district training and technical assistance activities, at the state level, is in the planning stage.

Staff Background:

DCA:	Staff members providing training and technical assistance generally have at least a B.A. plus training or experience in child development.
DOH:	5 Licensing Specialists - an M.A. in Child Development or Social Welfare, or 6 years of professional experience in day care.
	1 Licensing Coordinator - at least an M.A. in Child Development and experience.
DSS:	8 Child Day Care Specialists (1 vacancy) - an M.A. in Child Development or Social Welfare, or B.A. and 6 years of professional experience in day care.
	1 Child Day Care Consultant - at least an M.A. in Child Development or an M.A. in Social Welfare and professional experience in child day care.
State Dept. of Ed.:	1 Early Childhood Education Consultant - Ed.D plus experience in field.
	2 Early Childhood Education Consultants - at least an M.A. in Early Childhood Education and experience.

9-2 ACTIVITIES

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Public Centers (81 DCA)	DCA Day Care Staff (8)	Training in all aspects of day care and administrative procedures under Title XX; Extensive technical assistance as needed.	Varies. At least 1 day per month on-site, plus after hours as needed.
(9 DSS)	DSS Day Care Consultant & a variety of resources		
Private Centers and Homes	District Day Care Consultants, State Ed. Consultants & a variety of resources	Some assistance and materials are available on request and offered as need is evidenced or expressed.	Varies. On call and/or as made available by State Dept. of Ed., DOH, DDS, Community Colleges.

9-3 PROCESS (Public Centers Only)

DCA staff identifies the need for training and technical assistance on the basis of the quarterly monitoring reports, requests from the providers, and the receipt of new information or procedures from outside the department. Areas of greatest need are in using new forms, relating to children at appropriate developmental levels and creating a proper environment for each age group.

Methods used include workshops, on-site visits, phone calls and information letters.

9-4 RESULTS (Public Centers Only)

DSS and DCA staff believe that they meet the needs to the extent possible within the time limitations. They are proposing to set up more global training sessions to offer greater contact with providers and to facilitate cross-center exchanges and dissemination of information. DCA is working with DSS Day Care Consultants and the Title XX office for Title XX training money.

9-5 PRINTED MATERIALS

Published training materials include:

- A bi-monthly newsletter for centers, home providers and parents, written by day care staff persons from DOH, DSS, State Dept. of Education and the University of Connecticut Extension Service.

- Listings of films, books and pamphlets available through the Day Care Services Library in DSS Day Care Consultant's office.
- Mimeographed articles on play, creative art, clay, blocks, science, "found materials", etc. prepared and/or collected and made available by DSS for distribution by all state departments, community colleges, etc.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The State Department of Social Services, Financial Services Section is responsible for fiscal management. They prepare the budget, in conjunction with the DSS program people, and they handle all federal funds and AFDC disbursements, including issuance of checks for child day care services.

State funds for the 81 DCA-funded centers go directly to DCA. DCA then advances the funds to the centers on a quarterly basis and bills DSS for that portion which is federally reimburseable.

Local - No direct fiscal functions are performed at the district level -- i.e., no preparation of budgets and no handling of money. The district Day Care Specialists are, however, involved in setting rates and verifying that providers are being paid (See item 10-5, client purchase).

Function: Policy and rate setting are handled by the social services program people. Budget allocations are prepared jointly by the fiscal and program sections, although the fiscal section has the authority to trim the budget.

10-2 FISCAL MATERIALS

The full complement of fiscal materials are not in use at this time, but they are being developed by the program policy section in DSS. All existing materials were rated average.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/IV-A		
DCA	$4,593,138	$5,038,816
DSS	3,866,571	4,148,575
Model Cities/ Municipal Govt.	471,473	1,560,947
WIN	482,500	482,500*
CWS	- 0 -	- 0 -
TOTAL	$9,413,682	11,230,838

* estimated

FY 75-76 funds are projected from a 9-month to a 12-month base.

The breakout of funds for DCA, DSS and Model Cities (or Municipal Government units) corresponds with the "Provider" breakout shown in the Title XX Plan. It is important to note, however, that DCA funds include very substantial state-provided monies--specifically, it was estimated that, of the more than $4.5 million allocated to DCA for FY 74-75, $2.6 is federal money and $1.9 is state money.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service	
Contracted (with municipalities) Facilities	471,473
Vendor-Paid Facilities	none
Direct Provision/Operation (by DCA)	$4,593,138
Client Purchase, with social service and WIN funds	4,349,071
Client Purchase, with income maintenance funds	none
TOTAL	$9,413,682

Description of Funding Methods/Processes:

A. Purchase of Service: It was reported that there is at present no arrangement for purchasing services from providers. There are, however, contracts with municipalities, which enable them to operate (or sub-contract the operations of) the former Model Cities centers and other programs (shown as POS in the foregoing chart). These contracts contain all required provisions. There are no vendor payments made to other providers (see Item C below).

B. Direct Provision: 81 Centers are directly operated by the Department of Community Affairs, under an agreement with DSS. While this is not the Title XX agency, it is a state agency and its program is being considered as direct provision, rather than POS. The actual funding procedure is as follows: The state day care allocation is given to the Department of Community Affairs. Using these funds, DCA underwrites the operation of the 81 Centers by advancing funds on a quarterly basis (the amount of the advance is determined on the basis of allowable items, as specified in their line item budgets and adjusted in relation to actual expenditures for the previous quarter). DCA then bills DSS for that portion of the cost which is federally-reimbursable; i.e., for services provided to FFP eligibles.

C. Client Purchase: With the two exceptions noted above (i.e., Model Cities and DCA-operated centers), all other child day care services are purchased by the parents with special checks which are issued to them for this purpose. Computation of the amount needed is done by the Income Maintenance Worker or the Day Care Specialist.

Once eligibility has been established and the amount of child care need determined, the state fiscal unit issues a check (separate from the aid check), for the specified amount, directly to the parent. This check, which is issued in advance, is used by the parent to pay for child day care. The monies used for this purpose are social service and WIN funds, but not income maintenance funds.

Until recently, there was no control over this transaction. As of October 1, 1975, a control procedure was instituted wherein the client and provider must both sign a receipt each month. This receipt is then returned to the Day Care Specialist or Income Maintenance Worker and serves as verification that the funds have actually been used to purchase day care services.

10-5 RATE ESTABLISHMENT

Unit of Measurement: per slot, per week.

Provider Type	RATES		
	Basis	Average	Range
Public Centers	Actual costs	$37	$25 - 49
Private Centers	Community rate	$37	$20 - 45
Family Day Care Homes	Community rate	$30	$20 - 45
In-home	Community rate	$30	$20 - 45

As noted, the parent purchases care in private centers, family day care homes and from in-home providers. The allowable rates, however, are set by the district offices, based on the accepted community rates.

10-6 IN-HOME CARE

This method is heavily utilized by AFDC, WIN, and Non-Win clients who receive income maintenance assistance. Much of the in-home care utilized is relative care, arranged by the parent.

10-7 INCOME ELIGIBILES AND PARENT FEES

There is a Title XX standard sliding fee schedule which is used in DSS and DCA-funded centers only. Parent fees are used to offset costs.

In DSS and DCA-funded centers, fees are charged to families who are in the income eligibility category only, and not to families on full or partial assistance even though their gross income might be great enough to be included in the fee schedule category.

10-8 DONATIONS

In the 9 DSS-funded centers, 25% of the total net cost is donated to DSS from municipal Community Development Act (HUD) monies which can be used for federal matching. No other donations were reported.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State Administered

Description of Administrative Structure: The Department of Health and Social Services is the designated social services agency. Within the Department, the Division of Social Services (DSS) has responsibility for the administration of all social services, including child care. DSS is composed of seven service program units, a centralized support unit and three regional offices.

The Day Care Unit of DSS is the primary unit responsible for child care management. The unit performs the following management functions: Licensing, Eligibility, Information and Referral, Training and Technical Assistance.

Within the state Day Care Unit, the Program and Fiscal Monitoring Team is responsible for monitoring.

Planning, Evaluation and Needs Assessment are the responsibility of the Planning Review and Evaluation Unit of DSS for all social services.

Social Service Fiscal activities are the responsibility of the Fiscal Control Unit of DSS, while the Division of Business Administration and General Services (DBAGS) of the Department of Health and Social Services is responsible for fiscal activities of the Department. Purchase of service is the method used to secure day care services in Delaware. Contracts and fiscal policy are developed by the Fiscal Control Unit and the Day Care Unit, with final approval by the Secretary of the Department of Health and Social Services. Purchase of service contracts are initiated by the Day Care consultant and approved by the Fiscal Control Unit.

Region: Statewide, there are three regional offices, with responsibility for local social service programs. Child care activities are conducted by a Day Care supervisor at each office, one full-time to child care and two part-time to child care. For the three regions there are (4) four licensing workers and five (5) eligibility workers.

There is no county involvement.

NOTE: Region = county area. However, there is no involvement by county government.

The Delaware site visit was conducted in November 1975. Interviews were held with state staff members and district staff members in New Castle County.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	6,783,000	8,977,499
Total Child Care Funds (Titles IV-A/XX)	3,662,401	4,952,554
Percentage of Total Social Services Funds Allocated to Child Care	54%	55%

The Comprehensive Annual Services Program Plan (CASP) for Delaware is a 9 month plan (October 1, 1975-June 30, 1976). Figures shown in the plan for Social Services and Child Care are 6,749,999 and 3,723,725, respectively. These figures have been annualized by multiplying by a factor of 1.33. The total child care funds are for child day care only.

In terms of funding, child care is by far the top priority service in Delaware. However, the proportion of total social service staff time allocated to child care is only 7-1/2% (29.5 FTE's) involved in child care management out of a total of 391.5 staff members in the Division of Social Services, including both state and regional offices.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	1	85	126,709	NO BREAKDOWN BY PROVIDER TYPE
Private Centers	57	1,715	3,078,425	
Group Day Care Homes	5	25	421,379	
Family Day Care Homes	133	425	24,622	
In-home Care	5	20	12,216	
TOTAL	201	2,270	3,663,401	3,723,725

*Includes all licensed, approved or otherwise sanctioned providers.

1-4 INFORMATION SYSTEM

Nature of records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	Family	State
Standardized Social Service Forms	no		
Computerized records	no		
Income maintenance records	no		

Narrative social service forms are uniform throughout the state.

Extent of Data: Identifiers, demographic data, eligibility determination, service plan and delivery methods, as well as service costs, are maintained in the narrative social service case records. Goal data is not maintained.

Data Aggregation: Aggregation of data occurs only at the state level. Fiscal data reports (including attendance and payment information) are manually generated by the Division of Business Administration and General Services and day care unit based on invoices for payments. Programmatic data are not aggregated and no program reports are produced.

The Social Service Reporting requirement will be completed by the Division of Business Administration and General Services. It is planned that a computerized system will be installed to handle this task. Insufficient data processing staff was the only problem identified in relation to completing the SSRR forms.

1-5 STATUTES

Delaware State Code Title 31 authorizes the Division of Social Services to provide child care services to eligible persons.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The areas seen as dominant problems in the management of child care are: (1) the flow of funds from the federal government to the state and from the state to providers; (2) insufficient training and technical assistance available for staff and for providers; (3) ineffective enforcement provisions in the state licensing law; (4) the organizational structure within the Department; in particular: (a) a lack of clarity about the respective roles of central and regional offices; and (b) unclear policies and interpretations.

Major strengths in the management of child care were described by state personnel as: (1), the clarity of purchase of service contracts; and (2), the newly developed provider accounting and payment control systems.

The ease with which a client's needs are assessed, eligibility determined and service referral provided are seen as a definite strength. The Eligibility worker is the only person the client must see.

2. NEEDS ASSESSMENT

No comprehensive needs assessment was conducted.

Within the relatively short time allowed for developing the current plan, hard data for a comprehensive or specific needs assessment was not obtainable. The state must develop the capability to obtain necessary demographic data in the future.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: The Planning, Review and Evaluation Unit of DSS is responsible for on-going social service planning. The planning unit has 4 FTE's and approximately 3/4 of one person's time is allocated to child care. The unit was established about a year ago.

Title XX Planning: The Family Services Unit of DSS was responsible for development of the Title XX plan, based on statistical data provided by the Planning, Review and Evaluation Unit. There was no special effort directed towards child care planning.

3-2 PLANNING PROCESS

The planning and child care personnel indicated that lack of time and the newness of the Planning Review and Evaluation unit made it difficult to develop an adequate systematic planning process.

Determinations were made based on historical statistical data.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be served	yes	yes	2,350	more
Population Categories to be served	yes	no	AFDC; AFDC-WIN; income eligibles	same
Priority Population Categories	no	no	---	--
Special Provider Attributes (e.g., hrs. of service)	no	no	---	--
Geographic Areas	yes	no	Statewide	same
Dollars Allocated for Child Care Service	yes	yes	$3,723,725 (9 mos.)	more

3-4 PLANNED ORGANIZATIONAL CHANGES

No organizational changes have been planned. The Planning, Review and Evaluation Unit hopes to be functioning fully in time for the next Title XX Plan.

3-5 UTILIZATION/IMPLEMENTATION

In effect, no major changes were derived from the planning process; therefore, no implementation process.

4. EVALUATION

The Planning, Review and Evaluation Unit of DSS is responsible for development of an evaluation process and it is expected that such a process will be considerably developed within the coming program year.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES

While information and referral services are generally available at the state and regional offices, there is not a specific unit responsible for information and referral. The services are provided by a variety of agency personnel (Social Service workers, income maintenance workers, and SAU-WIN staff and Eligibility workers) as well as voluntary agencies.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	monthly	x	x	x	x
Homes	yes	daily	x	x	x	x
In-home*	unknown	unknown	unk	unk	unk	unk

Information on centers and homes is compiled by the licensing worker.

*For in-home caretakers, WIN workers keep track of the availability of the few persons who provide this type of service.

Disseminating Information: Up-dated provider lists are sent to eligibility workers with the monthly fiscal reports. Potential clients can get information by calling almost any component of the system. The client will be referred to the service program. No outreach activities are undertaken.

Assessing Client Need/Referral/Follow-up: The factors a Day Care Eligibility Worker considers in assessing the need for child care are: child's age, family composition, child's level of development, hours of care available, and location of facility. Approximately one hour is required to do an assessment. The Eligibility Worker is involved from first contact through completed placement. Parents are involved throughout and are given names, addresses, and telephone numbers of several facilities to choose from. The decision on the location and type of facility is the parents'.

5-3 RESULTS

Specific numbers were not available at the state level. Numbers provided by the Wilmington Regional Office (New Castle County) are as follows:

Results (over 3 months)

Total number seeking referral (all social services): unknown

Number clients seeking child care referral: 150

Number actively assisted: 140

Number securing their own services: 10

Number unable to secure services: 0

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are developed at the state level. The Day Care Eligibility Consultant has direct implementation responsibility, from securing application through the determination of eligibility.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- Income Eligibles, defined as follows: -Persons earning up to 48% of the median income ($6,762 for a family of four) is eligible for free child care service; -Persons earning 48 to 76% of the median income (i.e., from 6,762 to 10,800 for a family of four) will pay a fee based on the sliding fee schedule. -Persons earnning more than 76% will pay the full cost of care.

Revisions since the Passage of Title XX: No changes. Income eligibles have been served all along, with the use of sliding fee schedules.

Materials to Ensure Uniform Interpretations: Guides have been developed and distributed.

6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the state and covering family information and verification methods, are in use throughout the state.

Applications are secured by the Day Care eligibility worker at the regional office.

The total number of applications received is unknown.

Eligibility Determination and Verification: If the client is a Welfare or WIN recipient, this fact is verified by checking the AFDC or WIN files and the client is determined to be eligible. If the client is employed, a paycheck stub is required to establish that the client meets the 76% of median income requirement. The Day Care Eligibility worker can generally tell the client immediately if he/she is eligible; if this is not possible, the client is contacted by mail or phone, as soon as eligibility is established.

The time lapse between application and completion of the eligibility determination process ranges from immediately to less than two days. The delivery of services does not begin until the client is determined eligible.

Quality Control: All clients are required to report any changes in status or earnings, and income eligibles are required to submit check stubs every six months to verify income.

The Day Care Eligibility Consultant is responsible for quality control. Client files are checked periodically to insure that the client is eligible for service.

Redetermination of Eligibility: Eligibility is redetermined at least every six months. Generally it is at this time that clients who have become ineligible are identified. Should a client be found ineligible, payment for child care service is discontinued.

Appeals: Whenever clients are found ineligible, they are informed of the right to appeal. There were no appeals filed last year in the Wilmington Regional Office.

Parent Fees: Sliding fee scales were developed by the Fiscal Control unit and the DC Eligibility Consultant. Free child care is provided to all who earn less than 48% of the median income. Fees are charged for child care to parents who earn 50 to 82% of the median income, on a sliding scale.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

The State DSS Office is responsible for the development of licensing standards. Responsibility for implementation of licensing procedures, including both issuance and enforcement, for all provider types is done by the state and regional licensing staff. Licenses are required for all centers and homes and are based on direct observation by licensing workers, and reports are received from the Health and Fire Departments.

Staffing: There are 4 full-time licensing workers at the regional level and 7 full-time workers at the state office. Of the eleven licensing workers, five are responsible for licensing centers; and six are responsible for licensing and monitoring of homes. All licensing workers have authority to recommend a license denial, but final authority rests with the Director of the Division of Social Services.

A bachelor's degree, preferably in Social Work, and a minimum of two years' experience in public service programs, constitute the minimum requirements for family day care home licensing workers. In-service training is provided in early childhood education and child development.

7-2 STANDARDS

Standards Development Process: Center standards were updated in 1970. Group day care homes were included with centers. A Task Force consisting of Day Care licensing staff, DSS personnel, and providers reviewed existing regulations and made recommendations to the Day Care Coordinator and the Director of the Division.

Family day care standards were updated in 1960.

Content of Standards:

Staff-Child Ratios	Ages	Ratios
Centers:	0 to 1 yrs.	1:5
	1 yr. to 2-1/2	1:8
	2-1/2 to 4 yrs.	1:15
	4 yrs. to 6 yrs.	1:20
	6 yrs. to 18 yrs.	1:25
Group Day Care Homes:	6 wks. to 12 yrs.	2:11
There shall be no more than eleven children in attendance at any given time including staff children or other children in the household under age 12.		
Family Day Care Homes:	6 wks. to 3 yrs.	1:6
The number of children given day care shall not exceed six. This number shall include the licensed parent's own preschool children. No more than three infants shall be cared for by one person.		

Additional Components of Standards:

- Facilities
- Educational Services
- Social Services
- Health
- Nutrition
- Staff Training
- Parent Involvement
- Evaluation
- Administration

Comparison of Licensing Standards with FIDCR: Delaware has no standards which exceed those of FIDCR.

Staff-child ratios are seen as particularly unrealistic, because few providers are able to participate in programs, and costs have skyrocketed.

Delaware's licensing standards with reference to facilities, educational services, social services, health and nutrition, staff training, parent involvement, evaluation and administration coincide with FIDCR.

Respondents indicated that all facilities serving FFP children are in compliance with FIDCR.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required	Providers			Renewal Planned	Freq. Actual
		Total #	% Lic.	% Disq.		
Public Centers	License	1	100%		1 yr.	1 yr.
Private Centers	License	114	100%	35%	1 yr.	1 yr.
Group Day Care Homes	License	5	50%		1 yr.	1 yr.
Family Day Care Homes	License	262	30%	15%	1 yr.	1 yr.
In-home	none	-	-	-	-	-

Fees for Licenses: No Fees are charged.

Content of Licenses: Content of licenses for homes and centers includes:

- date of issue
- period valid/expiration date
- maximum number of children to be served

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study generally covers the facility's physical characteristics, provider characteristics, educational, health and nutritional components, and extent of parent involvement. With reference to children: specific verification that children have had medicals, number of children to be served. Also, a section on day care goals, what the providers hope to achieve, and a plan for achieving these goals.

Extent and Nature of Process: A structured format is used in the licensing study for both homes and centers. Homes generally require 3 to 4 visits, while for centers as many visits are made with the applicant as is necessary to make a sound evaluation of the applicant, the facility and the program. The staff estimates that 5 to 10 visits could take place. The number of visits to homes and centers also includes the visits made by Fire, Sanitation and Health Departments. Non-compliance with fire safety standards and medicals on staff and children are the greatest areas that impede the issuance of a license for both provider types. All providers in both categories have undergone an initial licensing study.

Conditional Licenses: No conditional licenses are issued to Family Day Care homes.

Centers are issued a conditional license for a period of 30 to 60 days. Deadline for compliance is established and follow-up occurs 10 days before the conditional license expires. When conditions are not achieved after the 30 to 60 days, the conditional license is revoked, and no regular license is issued. However, it would depend on the gravity of the conditions and whether the provider is working toward compliance.

Three conditional licenses were issued last year; most because of corrective action needed for fire safety.

Revocations: Failure to meet or maintain the requirement or to give proper care to the children shall constitute cause for revocation of license.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Day Care Unit of DSS has responsibility for monitoring. There are eleven state and regional staff members who are assigned to do monitoring of child care. The Program and Fiscal Monitoring Team monitors day care centers; licensing specialists monitor homes. SAU-WIN workers monitor in-home facilities.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	DCU's program and fiscal monitoring team		100%	100%	Monthly	2 hrs.
Private Centers	DCU's program and fiscal monitoring team		100%	100%	Monthly	2 hrs.
Group Day Care Homes	DCU's licensing specialist		100%	100%	Monthly	2 hrs.
Family Day Care Homes	DCU's licensing specialist		100%	100%	Quarterly	1 hr
In-Home	SAU-WIN worker		UNK	UNK	UNK	UNK

8-3 PROCESS

Areas covered by the state's monitors include: program activities, fiscal management (budget review), staff-child ratios, compliance with Purchase of Service contracts and federal regulations, as well as evidence of progress since prior visit. There are no official policies governing monitoring and no standardized instruments. Scheduled visits, surprise visits and telephone calls are utilized for monitoring.

Wilmington regional office has developed an observation guide for Family Day Care homes. This regional office monitors only Family Day Care homes.

8-4 RESULTS

All child care centers are reported to be in compliance with state contract standards and licensing standards. All family day care homes are in compliance with state licensing requirements. Monthly fiscal reports and annual audits as well as compliance with licensing regulations were identified as the most difficult for Day Care homes to comply with. For both types, the greatest difficulty in achieving compliance include: staff-child ratios (for centers anticipated as a result of Title XX), facilities, staff training and parent involvement.

Follow-up consists of a notification to the provider; this notification specifies the areas of non-compliance and sets a target date for achieving compliance. In addition, technical assistance is provided to assist the provider in achieving compliance.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Program and Fiscal Monitoring Team of the Day Care Unit has responsibility for providing training and technical assistance to centers and homes throughout the state. It is estimated that one full-time equivalent staff member is allocated to training last year. In addition, approximately two full-time equivalents were allocated to technical assistance last year. No specific sum of money has been budgeted for this purpose.

Local: Technical assistance is provided by licensing workers to day care homes. Approximately 15 to 25 hours per provider per year is allocated. No specific amounts were budgeted for technical assistance at the regional level. No training is done by Regional level personnel.

Staff Background: The backgrounds of the Program and Fiscal Monitoring team members vary from formal education in social work to early childhood education. Licensing workers generally have social work training. All are required to have some experience in child development programs. On-the-job training is provided.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
Licensing Worker	Day Care Unit Staff	FIDCR regulations, Title XX, workshop to assist providers with compliance	--
DSS Staff	Day Care Unit Staff	Internal management skills in-service training	--

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers	Day Care Unit Staff	Accounting procedures, FIDCR regulations, infant care, Title XX regulations workshops and on-site T.A.	137 hrs. per provider per year
Homes	Day Care Unit Staff	Infant care, accounting procedures, Title XX regulations, workshops	13 hours per provider per year
	Licensing worker	FIDCR, state licensing standards, T.A. for compliance with FIDCR and state standards	15-25 hrs. per provider per year

9-3 PROCESS

The methods for identifying the need for training and technical assistance include:

- requests from providers;
- problems identified through monitoring.

Licensing workers for Family Day Care homes and providers were identified as the groups with the greatest need for training and technical assistance. The need for training a licensing worker derives from the changes in regulations and from their role in providing assistance to providers. The content areas in which providers need assistance are:

- infant care;
- accounting procedures.

Site visits are the main means of providing technical assistance and training is offered through workshops and seminars.

9-4 RESULTS

Training and technical assistance needs were met to a limited extent. The staff emphasized the need for additional training and technical assistance personnel in order that more time could be spent with individual providers as well as additional workshops.

Providers are very receptive and pleading for help.

Subsequent to the delivery of training and technical assistance services, there is generally a follow-up via the monthly monitoring visit, and assessment of the effectiveness of training and technical assistance is checked.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

State: The fiscal function is performed by the Fiscal Control Unit, the Day Care Unit within DSS, and the Division of Business Administration and General Services. There is no separate child care fiscal unit.

Local: No local fiscal unit.

Function: The Fiscal Control Unit and the Day Care Unit work together on allocating resources, preparing policies, controlling expenditures and approving budgets. The Division of Business Administration and General Services and the day care unit have responsibility for payment and final approval of overall day care budget.

10-2 FISCAL MATERIALS

The full complement of required fiscal materials has been developed by the social service fiscal unit and the Day Care Unit, and are regularly used. Fiscal materials were rated good.

The Day Care Manual-Accounting system was developed by the Fiscal Control Unit and the Day Care Unit. It has standardized accounting forms for all providers, and accountability has increased as a result.

Contract Forms were developed by the Day Care Unit and are simple and clear cut. They are viewed by providers and the Unit as very positive.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/IV-A	$3,651,185	$3,723,725
WIN	11,216	unknown
CWS	- 0 -	- 0 -
Other		
TOTAL	$3,662,401	$3,723,725

100% of the local share is provided by the state of Delaware.

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10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service contracted facilities	$3,662,401
Direct Provision/Operation	none
Client Purchase, with social service funds	none
Client Purchase, with income maintenance funds	none

10-5 DESCRIPTION OF FUNDING METHODS/PROCESSES

A. Purchase of Services.

All services are purchased from Centers and Homes.

Written contracts, containing all required components, are developed for centers and homes.

Contract Management is performed by the Day Care Unit's Program and Fiscal Monitoring team. No large-scale sub-contracting is undertaken. Quality control procedures include: checking monthly attendance sheets against budget and contract, as well as an annual audit required of each center by an independent certified public accountant.

B. Direct Provision: None.

C. Client Payment: None.

10-6 RATE ESTABLISHMENT

Unit of Measurement: per child day; 4 hours constitute a full day.

Provider Type	RATES		
	Basis	Average	Range
Centers	Actual cost with eye on ceiling	$40 per week	$42.00 high
Family Day Care Homes	adjusted annually, as needed	$25 per week	$25.00 high
In-home	Actual cost Cost in other areas	$20 per week	Flat Rate

10-7 IN-HOME CARE

$20 per week was the rate established for in-home care, based on cost in other areas, and some relationship to actual cost.

10-8 INCOME ELIGIBLES AND PARENT FEES

Persons earning less than 48% of the median income ($6,762 for a family of four) receive 100% subsidy; persons earning 48 to 76% of the median income (from $6,762 to $10,800 for a family of four) will pay a fee based on a sliding fee scale. Persons earning more than 79% of the median income must pay the full cost of care.

10-9 DONATIONS

No third party donations were received.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Human Resources (DHR) is the agency designated to administer the state's social service programs. The department is composed of seven offices and five administrative divisions.

The responsibility for most child day care program areas is vested in the Social Rehabilitation Administration (SRA) arm of the DHR. One of the SRA's three bureau's (Bureau of Family Services) is directly involved in child day care management through its Special Services Division. Within the latter division, is the Day Care Services Branch which has day-to-day responsibility for administering the state's child day care program under Title XX.

The Advisory Commission on Child Development, a body appointed by the D.C. City Council, is advisory to the Council on day care standards. In addition, the D.C. Advisory Committee on Day Care was established to increase citizen participation in Department of Human Resources Day Care policy. This body is advisory to the Director of the Department.

Fiscal management is the responsibility of a separate administrative support unit, the Office of the Controller. It provides fiscal support to all DHR social service programs including child care. Its functions are non-programmatic and cover a broad span of budgeting, accounting and financial management activities.

Day care licensing is primarily the responsibility of the Licensing and Standards Division of the Office of Planning and State Agency Affairs, a centralized DHR office responsible for the licensing of social service facilities and for other management areas such as planning.

A separate branch of the Special Services Division is responsible for child day care monitoring.

In addition to the central office, there are eight decentralized centers located in designated wards throughout the District of Columbia. Two of these centers have a social service worker specializing in day care services delivery. These workers coordinate their activities with central office social services workers.

The District of Columbia site visit was conducted in February, 1976. Interviews were held with eight district staff members.

In general, determination of client eligibility is the responsibility of day care specialists whether in the central office of decentralized centers.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$11,973,000	$13,619,000
Total Child Care Funds (Titles IV-A/XX)	$ 2,300,000* (approx.)	$ 2,896,200*
Percentage of Total Social Services Funds Allocated to Child Care	19%	21%

*The District of Columbia allocated approximately $7,000,000 of additional non-matchable local funds for child day care services in FY '75 and FY '76.

The number of FTE involved in the provision of child day care services in the central and ward offices is about 23 FTE. The proportion of social service staff time allocated for child care is not available.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Exclusively District-Funded and Private Centers	251*	1,740	NO BREAKDOWN AVAILABLE	
Family Day Care Homes	254*	230 (approx.)		
In-home Care	UNK	860 (approx.)		
TOTAL	505	2,830	$9,300,000** (approx.)	$9,896,200** (approx.)

* The composition of centers in the District of Columbia includes 54 funded through Title XX and Title IV-A WIN (22%), 79 funded exclusively the the District of Columbia (31%), and 118 privately-supported (47%). 77 (30%) of the family day care homes serve FFP eligibles under Title XX and Title IV-A WIN funding.

** Includes approximately $7,000,000 in non-matchable District of Columbia funds, but does not include WIN expenditures for child day care.

There are no state operated centers or group day home providers in the District of Columbia.

Only the 54 Title XX and Title IV-A WIN centers serve both FFP and non-FFP eligibles; the District-funded and private centers serve no FFP clients. District officials estimate that 75% of the clients served in Title XX and Title IV-A WIN funded centers earn less than $7,000 annually.

In-home care is used primarily by active and former WIN participants.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	family	at worker location
Standardized social service forms	yes	family	at worker location
Computerized records	yes	family	D.C. central office

Extent of Data: All required information except demographic data on family size and composition is computerized. Narrative social service records contain complete information in all required areas.

Data Aggregation: Data is compiled by the Day Care Specialists and then it is computerized. One report (a sample) covering child day care services costs, recipients served, client status etc. has been produced. The staff felt that the sample report met all Title XX reporting requirements. Thus, they anticipate no future problems in meeting federal reporting requirements.

1-5 STATUTES

There are District regulations covering all facets of policy and licensing requirements including the requirement that day care centers have a food handlers permit.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Interviewees in the District of Columbia listed their major problem as the lack of an adequate number of staff. The District has been operating under a job freeze since October 1974, which has precluded staff increases for all social service programs, including child day care.

Staff respondents pointed to the committment of the District's city government to quality child day care as the program's key strength. The city's committment is reflected in the $7,000,000 of non-matchable District funds allocated for child care in the past two fiscal years. The city government hopes to make their day care program serve as a national model.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: An intradepartmental task force comprised of 35 DHR staff members was initially in-charge of preparing the Title XX needs assessment. Subsequent to their involvement, responsibility was shifted to an eight-member task force which included the Bureau Chief responsible for Title XX day care.

No formal child care needs assessments were conducted prior to Title XX. However, the DHR produced a Comprehensive Child Care Plan in 1974. While it contained no formal child care needs assessment, information on service and utilization patterns provided the initial basis for the limited Title XX assessment.

Staffing: The first intradepartmental task force devoted approximately 8 FTE over a three-month period to the overall needs assessment. No FTE estimate is available for the eight-person task force's activities.

2-2 PROCESS

Scope: The assessment incompassed all social services including child care, and covered both client needs and services availability.

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensively utilized	DHR studies on population movement, migration patterns, location of centers, areas of need.
Agency Personnel	Extensively utilized	Task force comprised of representatives from all DHR divisions and branches had input; eight-member task force (no child care representative) completed the effort.
Service Providers	Utilized to some extent	Day Care Advisory Committee representatives (1/3 are providers) comments were solicited. Self-completion questionnaires filled out by other providers.
Consumers	Utilized to some extent	Same as above, they make up 1/3 of the Day Care Advisory Committee to DHR.
General Public	Utilized to some extent	Collected comments at budget hearings; had representatives on the Day Care Advisory Committee.

2-3 RESULTS/UTILIZATION

No numerical estimates of need were generated. However, needs were stated in kind rather than in numeric magnitude.

A request for proposal for a needs assessment was prepared and put out for bids to the private sector. However, budget limitations precluded funding the study.

Degree of Integration into the Planning Process: No substantive impact on the plan or the planning process was identified.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: Social services planning is the responsibility of staff members in the Office of Planning and State Agency Affairs and the Social Rehabilitation Administration.

Title XX Planning: Preparation of the Title XX Plan was the responsibility of an interdivisional planning committee composed of 14-18 staff members representing various DHR support offices and the Social Rehabilitation Administration.

3-2 PLANNING PROCESS

The planning process, according to District of Columbia officials, was more extensive than previous efforts due to Title XX requirements for citizen input, written review, and linking of services. The amount of time spent and the number of staff involved did not change from prior planning efforts, however.

WIN, IV-A, and Title XX services are planned by the same office hence resources for all of these programs were partially coordinated, although the plans for each are separately conceived.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be Served	yes	yes	3,175 children (Title XX Plan--estimate)	slightly more
Population Categories to be Served	yes	yes	AFDC-WIN & non-WIN 925; Income Eligibles - 2250	same categories
Priority Population Categories	no	no	--	--
Service Provider Types	yes	no	Centers, homes, in-home care	same
Special Provider Attributes	no	no	--	--
Geographic Areas	yes	yes	City wide	same
Dollars Allocated for Child Care Service	yes	yes	$2,896,200 for the 12 month program year	26% more

Planned Organizational Changes: None

3-4 UTILIZATION/IMPLEMENTATION

No major implementation issues have arisen as a result of child care planning for the first program year.

4. EVALUATION

No child care evaluations have been conducted.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no special information and referral program; child care information, and referral is provided by day care specialist, SAU-WIN staff members, staff of voluntary agencies, and income maintenance workers. The day care specialists are the most heavily utilized source of information and referral.

5-2 PROCESS

Assembling Information: The staff of the Licensing and Standards Division of the Office of State Agency Affairs assembles information on all centers and homes.

The Supervisor of the Day Care Monitoring Branch also keeps up a list of centers and homes, which is disseminated among day care specialists. This list contains current vacancies and is an in-house document used for referral purposes only. It is up-dated monthly.

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	quarterly	yes	no	yes	yes
Homes	yes	quarterly	yes	no	yes	yes
In-home*	no	none		none		

*Clients secure information on in-home care providers on their own.

Disseminating Information: Clients receive day care information by phoning in to program offices (there is a telephone listing under "Day Care") and through public speaking engagements by Day Care Services Branch personnel; there is also a child care information pamphlet, but it is out-dated. No regular outreach activities are undertaken.

Assessing Client Need/Referral and Follow-up: The day care specialist assesses the need for child care based on the child's age, personality, developmental level, and most convenient provider location. The specialist refers the client to a facility after confirming an opening and strongly encourages the client to make a pre-placement visit. The parent makes the final decision on provider selection.

The assessment process consists of two stages. First, the parent comes in for an initial interview and is presented with appropriate child health forms to be filled out. At the second interview, completed health forms are returned and actual referral and placement are made. The assessment/placement visit (the second visit) takes 30-45 minutes. After placement, there is follow-up quarterly, and more frequently, if indicated.

In-home care is used mostly for active and former WIN participants. These clients take full responsibility for locating a caretaker. However, final arrangements must be approved by the day care specialist.

5-3 RESULTS

Time period: 3 months

Number clients seeking child care referral	650 est.
Number actively assisted	440 est.
Number securing their own services	80 est.
Number unable to secure services	UNKNOWN

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility regulations are established by the City Council of the District of Columbia based on recommendations from DHR. The securing of applications and determination of eligibility are carried out by day care specialists in the central office and by two "local" specialists in decentralized offices. A new Title XX fee schedule has been proposed by DHR, but its adoption was pending the approval of the District of Columbia City Council at the time of the site visit.

6-2 POLICY PROVISIONS

Population categories eligible for compensable care include:

- AFDC-non WIN
- AFDC-WIN
- SSI
- Income eligibles qualifying for totally compensable care are defined as anyone whose family income does not exceed $7,000/year regardless of family size. The proposed Title XX fee schedule specifies a cut-off point at 80% of the District's median income, and will apply to FFP clients as well as those being served in centers 100% District-funded. The fee schedule is set up such that:
    - Child care would be free for those who earn up to 50% of the district's median income.
    - Above the 50% level, client payment increases 5% for each of 4 increments. Thus, income eligibles subject to fees, pay a maximum of 20% of the day care cost.
    - Those clients whose income exceeds 80% of the state median pay the full cost of day care and would no longer be eligible for the DHR program.

Additional qualifications include the parent being employed, in-training, incapacitated by illness or other handicaps.

There are no designated population priorities; service is provided throughout the city.

Revisions Since tha Passage of Title XX: The proposed change for the sliding fee scale and the use of a written application are changes ocurring under Title XX.

Materials to Ensure Uniform Interpretations: Guidelines are available and in use regarding applications and fair hearings under Title XX. Since the proposed fee schedule has not yet been enacted by the city council, eligibility instructions relating to the $7,000 cut-off are still being used.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms are used throughout the SRA. Applications are secured by the day care specialist if the client is income eligible; if the client is receiving AFDC, the day care specialist receives a referral from the family service worker and then secures the application.

The total number of child care applicants for the previous fiscal year is not known since no written applications were used before Title XX. About 1-1/6 FTE were spent processing child day care applications in FY '75.

Eligibility Determination and Verification: The responsibility for client eligibility determination for day care lies with the day care specialists wherever they are located.

AFDC client status is checked by a referral form signed by the appropriate family service worker, and forwarded to the day care specialist conducting the eligibility determination. Documentation of income eligible status is done by checking gross income reflected in client pay stubs, tax returns, etc.

The time between application completion and final eligibility determination for all clients, according to central office respondents, usually consumes no more than one or two days and includes the completion of a health form. Delays are minimized because clients are instructed to bring in all supportive documentation for their first visit. Services may begin immediately after a client has been found eligible, but cannot begin until the child health form has been completed and returned. Follow-up of eligible clients is conducted at least quarterly, and clients are urged to contact their day care specialist if some eligibility related problem arises.

Approximately 17% of all applicants were found ineligible in FY '75.

Quality Control: Clients are responsible for reporting changes in earnings or status that might affect their eligibility. Income is verified through evidence shown by the client (i.e., check stubs, income tax records etc.). No standardized quality control procedures have been established, but management review is on-going.

Redetermination of Eligibility: An office interview to reestablish eligibility is required every 3 months. When clients are found ineligible, services are terminated and clients informed of their right to appeal.

Appeals: No appeals were filed in the past fiscal year.

6-4 PARENT FEES

The sliding fee schedule developed for clients is interpreted by the day care specialist who expenses the appropriate fee to the client. When and if the proposed change for the Title XX fee schedule is approved by the City Council, workers will follow the same procedure.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Social Services Branch of the Licensing and Standards Division in the Office of Planning and State Agency Affairs is responsible for the issuance of licenses, and enforcement of standards for centers and homes. Primary responsibility for the actual licensure of facilities is delegated to licensing workers in this same office. They are exclusively responsible for the licensure of centers and share the responsibility for licensing homes with two other groups of personnel selected day care services staff in the Bureau of Family Services and staff of private child placement agencies. However, studies conducted by the latter two groups of personnel are subject to extensive review by the Licensing and Standards Division before a family day care home license is issued.

District fire, environmental, housing, and health agencies are also involved in the licensing process. Their activities are coordinated by the Licensing and Standards Division.

All centers under contract to DHR are visited once a year by a team composed of representatives of the Fire Department, Environmental Services, Social Rehabilitation Administration, and Licensing and Standards Division.

No license or approval is required for in-home care providers.

Staffing: There are 5 licensing workers in the Licensing and Standards Division who spend 80% of their time licensing child day care facilities. The remainder of their time is spent providing orientation and training and technical assistance for new providers. One supervisor devoted full-time to child care licensing activities, while the chief of the Licensing and Standards Division spends 1/4 time licensing child day care facilities.

All Licensing and Standards Division licensing workers are authorized to recommend license approvals, denials, and revocations, with final authority vested in the Licensing and Standards Division chief.

The minimum educational background for these licensing workers is a B.S. degree in social work, education, or early childhood education. Child development background is also requested. On-the-job training is provided, and staff members attend relevant training sessions given by the DHR Training Division.

The amount of time allocated to day care licensing and the education background required are not available for the other two groups of licensing personnel.

7-2 STANDARDS

Standards Development Process: The licensing standards for centers, and family day care homes were revised in December, 1974; the revisions became effective in July, 1975. The recommended standards were developed by the nine members of the Advisory Commission on Child Development appointed by the chairman of the District of Columbia City Council. The Commission includes operators of child care facilities, parents, residents, and an early childhood speciallist. District of Columbia agency representatives participate as non-voting members. Licensing staff attended Commission meetings, but the workers did not feel that their input was solicited extensively enough. The committee omitted providers not receiving District funds; this was later seen as a critical oversight by District officials who felt that their participation might assist in the legitimization of the new standards.

Content of Standards:

Staff-Child Ratios

Centers:

Ages	Ratios	Maximum Group Size
2 yrs. - 30 mos.	1:4	8
30 mos. - 36 mos.	1:8	16
3 - 4 years	1:10	20
5 years	1:15	25
6 - 14 years	1:15	30

Group Day Care Homes:
No group day care is subsidized by the District of Columbia.

Family Day Care Homes:
No more than 2 children under 2; no more than 5 total, including the day care providers own children under 16 years of age.

The standards for centers, and family day care homes also include the following components:

- Facility standards
- Safety, fire and sanitation standards
- Nutrition requirements
- Health requirements
- Educational equipment requirements
- Records and reporting requirements
- Educational Programs

Comparison of Standards and FIDCR: The District's staff-child ratios for homes are the only ratio standards exceeding FIDCR. The staff-child ratios for centers equal or are less stringent than FIDCR for every age category.

Some of the District of Columbia's other licensing components exceed FIDCR. They are:

- District regulations require center staff to be certified for first-aid, FIDCR does not.
- District regulations require centers to obtain a food handler's permit, FIDCR does not.
- Physical standards for centers are spelled out in greater detail than in FIDCR.

The District requires FIDCR and Title XX compliance for family day care homes and centers serving FFP eligibles.

There is an orientation meeting for potential providers, during which the District requirements are discussed. According to respondents, many potential providers drop out after attending this meeting. As a result of this screening, District officials estimate that only a small proportion (1%-3%) are unwilling to comply with FIDCR.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required	Providers			Renewal	Freq.
		Total #	% Lic.	% Disq.	Planned	Actual
Private Centers	License	251	100%	Unknown	Annual	Annual
Family Day Care Homes	License	254	100%	Unknown	Annual	Annual
In-home	None*	Unknown	N/A	N/A	N/A	N/A

* The client does, however, submit a letter of agreement (signed by the in-home provider) to the appropriate worker.

Fees for Licenses: There are no fees charged at this time, but the regulations provide that a fee may be charged for the license.

Content of License: The licenses for centers and family day care homes include:

- Date of issue
- Period for which valid
- Maximum number of children to be served
- Age range of children
- Category of license and limitations
- Type of facility
- Name and address of facility
- Hours of service

7-4 LICENSING PROCESS

Areas of Investigation: For both family day care homes and centers the licensing study covers:

- Physical characteristics of building
- Staff characteristics
- Provisions for educational, health, and nutritional components
- Provisions for handling sick children
- Staff-child ratios

Extent and Nature of Process: All known providers must be licensed. Most providers hear that a license is required through word of mouth. Some see TV ads or read newspaper announcements on the subject; others learn through licensing workers making community contacts. The same structured format is used for conducting a licensing study in centers and homes.

For new centers, at least 3-4 visits are needed before a license to care for children is issued. The process takes anywhere from 3 to 18 months, the delays caused primarily by (a) the facility needing improvement such as new paint, light fixtures, wiring, toilet facilities, and kitchen repairs, (b) the development of a mandatory record-keeping system, (c) availability of monies to meet facility requirements.

Providers may begin to serve children only after receipt of the license.

For homes, the licensing visits are carried out by either: a) licensing staff, b) day care services staff of the Bureau of Family Services, c) staff of private child placement agencies. If the licensing visits are made by either (b) or (c), the licensing staff is notified upon competion of the visit, and the license is mailed from the Licensing and Standards Division after a review and approval process.

Family day care home license applicants are screened and informed by telephone; then, if the provider remains interested in being licensed, a visit is made. One or two visits are generally required for a day care home licensing study; the license is usually issued within 90 days of the date of application.

The main cause for delay is the expense caused due to the requirement that a fire extinguisher be located on each floor of the home in addition to the kitchen.

The initial responsibility to find a suitable caretaker is left to the mother. The day care specialist of the Bureau of Family Services interviews the caretaker after notification by the parent.

The caretaker is informed of reporting requirements, provides a medical report, and signs an agreement with the District, with the parent's concurrence.

Conditional Licenses: No conditional licenses are issued.

Revocations: Constant non-compliance can lead to revocation of a license, although every attempt is made to induce the provider to follow a timetable for the correction of deficiencies before the revocation process is initiated.

The revocation process consists of:

- Licensing and Standards Division with recommendation by its staff or by the Bureau of Family Services, notifies the provider of the revocation attempt by mail.
- The reason for revocation is stated and the provider is informed of the appeal procedure.
- The provider can request a hearing within 5 days.
- If the appeal is denied, the facility is closed.

No appeals have been made since the new licensing standards went into effect (July, 1975).

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

A special Monitoring Branch in the Special Services Division is responsible for monitoring child day care facilities for licensing and contract complaince. This branch monitors all centers funded exclusively the District, all centers with FFP eligibles, and all homes serving FFP children. In-home caretakers are presently monitored by the day care specialists.

There are (4-1/2 FTE) staff members engaged in child day care monitoring. Manpower allocations are considered inadequate by District officials.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Exclusively District-funded	SSD Monitoring Branch	100%	N/A	100%	Every 1-2 mos.	3 hrs.
Private Centers*	SSD Monitoring Branch	32%	100%	100%	Every 1-2 mos.	3 hrs.
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	SSD Monitoring Branch	30%	100%	N/A	Every 2-3 mos.	2 hrs.
In-home	Day Care Specialists	UNK	UNK	N/A	UNK	UNK

*Private centers not serving DHR clients are monitored by the Licensing and Standards Division. This includes approximately 118 facilities. Data on the Licensing and Standards Division's activities was not collected at the site.

8-3 PROCESS

The areas included in the checklist used in the monitoring visits for centers and homes are the same as those covered in the licensing visit. In addition, a review is made of the identity-eligibility of the FFP children present. Centers supported exclusively with District funds initially submit an extensive proposal for services attached to their contract. Thus, monitoring efforts are additionally directed towards determining if funds are actually spent as specified in the contract.

FIDCR compliance/non-compliance is reflected in a combined narrative and checklist report for homes and centers serving FFP eligibles. Unscheduled site visits are used exclusively. Providers are informed of this policy at initial licensure.

8-4 RESULTS

The proportion of providers out of compliance is not known, but the site respondents assumed it was substantial, because of the new district licensing requirements which tcok effect in July '75. Providers have until July 1, 1976 to comply.

The areas of greatest compliance difficulty for centers are the staff-child ratio, staff first-aid certification, and maintaining proper equipment. For homes, the fire extinguisher requirement constitutes the area of greatest non-compliance.

When areas of non-compliance are identified in monitoring reports, the provider is informed, a timetable for correction is set up, and a follow-up visit is made. If there is any difficulty, the licensing staff is notified and requested to visit the facility to encourage corrective action.

Technical assistance as a result of monitoring usually consists of referrals to other staff, agencies or community resources relevant to the substantive program area causing difficulty.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

Responsibility for providing training and technical assistance is assumed by four groups within the DHR. The Training and Career Development Division (a division of the Office of Administration, a centralized support unit) is responsible for staff development, primarily in contract administration. The Office of Planning and State Agency Affairs' Licensing and Standards Division and Child Development Division (responsible for developing new programs) are each responsible for providing training and technical assistance to providers. The Social Rehabilatation Administration provides on-going training and technical assistance to day care operators involved in its programs.

The level of effort expended by the Training and Career Development Division is unknown. The Licensing and Standards Division allocates about 1/4 FTE to child day care related training and technical assistance; the Child Development Division annually allocates about 2-1/3 FTE to training and technical assistance. SRA allocates 2 FTE to training and technical assistance.

The amount budgeted for these activities is not known.

Staff Background: Most staff of the Child Development Division have education beyond a bachelors degree, and experience in child care and child development. Staff members in other departments must have at least a B.A. in the social sciences or a related field. Most staff in SRA Monitoring Branch have masters degrees in social work or early childhood education. All day care specialists have bachelors degrees or above.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
Child Development Division Staff	Training and Career Development Division	3 full days training in day care contract administration	3 full days 4 times/yr
Licensing and Standards Division		Workshop in working with parents	UNK
SRA Monitoring and Day Care Services Branches	Some	3 full days training in day care contract administration	3 full days 4 times/yr

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers - fully funded by the District	Child Development Division	Visit provider on request to assist with problems, answer provider questions by telephone. New providers - Assist with any problem for the first few months of operation; assist with contract for 100% Dist. funded centers; assist with funding req.	Unknown
All Centers	Licensing and Standards Div. Staff	First aid course	1 full day given bi-weekly
Centers and private non-DHR homes	Licensing and Standards Div. Staff	Orientation meeting	2 hours each bi-weekly
Centers and homes with FFP eligibles	Social Rehabilitation Administration	Interpret new regulations; first aid course (homes); workshops; nutrition training	8 hours weekly (est.)

9-3 PROCESS

The methods used to identify training, and technical assistance needs include:

- o Problems identified in monitoring reports.
- o Requests and inquiries from potential, new, and established providers.
- o Identification of staff problem areas arising day-to-day.

New center providers were identified as the group with the greatest need for training, and technical assistance. Their major needs are in basic administrative practices, fiscal management, and all areas of the educational component.

Site visits, direct consultation, workshops, and telephone calls are the chief means of providing training and technical assistance to providers. Workshops and seminars are the chief means of providing technical assistance to day care providers.

9-4 RESULTS

DHR staff feels that their center provider training efforts are well received, but that too few providers are reached. Regular follow-up to training and technical assistance efforts consists of a self-completion evaluation form filled out by participants to evaluate the effect of workshops.

The training for day care providers in management areas is mostly of a theoretical nature. Respondents felt they could not adequately assess its impact. DHR staff members, however, expressed a need for comprehensive training in the practical areas of child day care management.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure: The fiscal function is performed by the Budget Division, the Fiscal Accounting Division and the Financial Management Division all in the Office of the Controller. These divisions provide fiscal support for all social services including child day care.

Function: The fiscal accounting unit functions primarily as a support, payment, and budget control unit. Fiscal personnel provide program staff with financial statistics, review projected costs of new contracts and programs, and process payments for the multiple social service programs. Essentially, program staff determine dollar allocations for their respective program areas with advisory input from selected fiscal personnel.

10-2 FISCAL MATERIALS

With the exception of line item budget formats, the full array of fiscal materials has been developed primarily by the Office of State Agency Affairs' Division of Policy and Procedures. The materials were all rated as "good" with no extremes.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX	$2,300,000 (approx.)	$2,896,200
WIN	UNK	UNK
CWS	-0-	-0-
Other: District Funds	$7,000,000 (approx.)	$7,000,000 (approx.)
TOTAL	$9,300,000 (Not including WIN)	$9,896,200 (Not including WIN)

The local match for federal monies is derived exclusively from District of Columbia funds.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (Cost Reimbursable) Locally Funded Program	estimated $7,000,000
Slot-Funded Purchase/Vendor Payment (Under Title XX)	estimated $2,300,000
Direct Provision/Operation	None
Client Purchase, with Social Service Reimbursement	None
TOTAL	(approx.) $9,300,000

Description of Funding Methods/Processes:

A. Purchase of Service:

Cost Reimbursable - The District purchases services from all centers supported exclusively or in part by District funds, and from some family day care homes. For this group of providers, a contract is signed after approval of the proposed scope of services by the SRA. The provider is then required to maintain expenditures as proposed; a monthly cost-reimbursement method of payment is used.

Contracted, Slot-Funded Purchase - The Title XX funded centers operate under a somewhat different contractual arrangement. Their contract is for a specified number of slots rather than an entire facility. The contract contains all the required Title XX components but does not specify that that provider must meet FIDCR. Reimbursement is made monthly, based on the number of children in attendance per day.

Vendor Payment - A limited written agreement is used for family day care home and in-home providers. It includes some Title XX components. The agreement for day care homes has no definite termination date, and does not include a statement that the provider must meet applicable state or federal standards. The agreement with in-home caretakers covers the same type of information.

The District's contract management organization consists of the Child Development Division of the Office of Planning and State Agency Affairs which reviews new proposals for non-FFP facilities and assists providers in setting up centers, and the DHR Contract Review Committee (meeting bi-weekly) consisting of the chief or a delegate from seven DHR offices. The latter reviews all drafted contracts, and has the power of approval/denial based on the adequacy of materials submitted.

No large-scale subcontracting is undertaken.

The quality control procedures used in paying provider invoices include:

For centers funded exclusively by the District (non-FFP), the monthly cost break-down of expenditures is checked against the actual specifications of the contract, as is the number of children served.

For Title XX and Title IV-A WIN slot-funded centers, homes, and in-home care providers, editing of attendance records is performed by the monitors of the Day Care Services Branch. They receive a monthly list of providers and number of children served. They also have an up-to-date vacancy list, the last months' attendance records, and eligibility records. If a discrepancy is found by the staff and validated by the payroll office and/or day care specialist, the provider is notified.

Providers are paid monthly. In the event of an overpayment, the appropriate day care specialist is notified of the amount and the reason. The eligibility worker in turn notifies the provider and makes arrangements for collection.

B. Direct Provision: None

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement for slot-funded program: Per child-day or half day

Provider Type	Rates		
	Basis	Average	Range
Centers	City Council Regulations	$6/day $3/part day	Flat Rate
Family Day Care Homes	City Council Regulations	$4/day $2.50 before and after school	Flat Rate
In-home	City Council Regulations	$2.50/day $1.75 for evenings of less than 6 hours	Flat Rate

Maximum rate permitted: $7/day/child in centers including transportation.

10-6 IN-HOME CARE

Service is treated as in-home care if the caretaker lives outside the clients' home and comes into the client's home. The minimum wage has not been an issue to date.

10-7 INCOME ELIGIBLES AND PARENT FEES

It is proposed that eligibles earning up to 80% of the state median income are served as federally-subsidized clients. Until this proposal is approved by the City Council, a ceiling of $7,000/year is the base for establishing income eligibility, regardless of family composition. A nominal fee is requrested of those with incomes close to the ceiling. District officials expect that totally district-funded (non-FFP) and federally funded programs will operate under the same ceiling (80% of the District median income) under a new fee schedule to be operational in the near future. The proposed fee schedule is adjusted for family size and the cost of care; income eligible clients will never be required to pay more than 20% of the cost.

The collection of fees is the provider's responsibility. The total amount collected from parent fees is not available.

10-8 DONATIONS

No donations were received in FY '75.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Health and Rehabilatative Services (DHRS) is the designated state (umbrella) agency for Title XX social services administration. Under a Reorganization Act established in 1975 to increase the flexibility and responsiveness of the DHRS to local community needs, the entire structure of the DHRS is being revised. The organizational structure, to be outlined below, is not fully implemented as yet, although a target date of July 1, 1976 had been set for the achievement of full implementation. The 1976 Florida Legislature has since passed legislation extending the period for completion of the reorganization until July, 1977. Many of the staff positions to be described are currently vacant and many job descriptions, especially at the district level, were unavailable at the time of the site visit.

Under the new organizational structure of the DHRS there is an Office for Program Planning and Development, an Office for Administrative Services and an Office for Operations.

The Office for Program Planning and Development is responsible for supervising the administration of service programs operated by the DHRS. Its functions include establishing departmental program policies, planning, developing, monitoring and evaluating departmental programs. This office is further subdivided into two smaller offices: Office for Program Planning and the Office for Health Planning and Development. The Office for Program Planning has primary responsibility for Title XX administration and is responsible for setting goals and objectives, determining current and future needs, developing plans required by state and federal statutes, developing and promulgating rules, policies and procedures to achieve program objectives and evaluating programs. Under the direction of the Assistant Secretary for Program Planning and Development, statewide services are planned and developed through the 8 program offices. One program office, the Office of Social and Economic Services (SES), is responsible for program planning, policy formulation, standard setting and service delivery monitoring for all social services, including day care. The Bureau of Financial Services, formerly within the SES but now placed under Administrative Services, is responsible for fiscal management of the programs administered by the SES. In this Bureau is the POS section, responsible for contract management. There is also a Day Care section within the SES; as of July 1, 1976 there will be 2 state Program Consultants in this section who will be responsible

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The Florida site visit was conducted in May, 1976 and interviews were held with state staff in Jacksonville.

for day care program planning and development, policy interpretation, T & TA, and licensing standards interpretation to the staff of the District Offices of the DHRS. There will be 8 Day Care Consultants to work within the 11 District Offices. However, the final job description for the District Day Care position has not been adopted.

The Office for Administrative Services is responsible for providing administrative and management support services at the state level; this includes developing, implementing and monitoring uniform policies, procedures and guidelines for administrative and management support services at the district level. The Office of Grants Services, (OGS) a separate office within the DHRS, is responsible for developing fiscal policy, reimbursement rates and fee schedules. As of July 1, 1976, each district will have a District Grants Services Manager who will be responsible for negotiating and approving district POS contracts and forwarding this contract to the state Department of Administrative Services for authorization and eventual provider payment.

Non-WIN day care is purchased through POS agreements either directly from private and public day care centers or under the administration of a central agency. The State contracts with the central agency which, in turn, sub-contracts with providers. There are also contracts with family day care systems, but not with independent family day care homes (only WIN negotiates agreements with independent family day care homes). The family day care systems also must be administered by an umbrella agency in order to be contracted, and they in-turn subcontract with individual family day care providers.

The Office for Operations is responsible for district level operations. There are 11 multi-county District Offices (D.O.) of the DHRS in the state, each headed by a District Administrator who is directly responsible to the Assistant Secretary for Operations within the Office of Operations. The District Administrators are responsible for all state programs operating within the districts. There are variations within the District structures, but all include services provided through program offices.

The day care section for Social and Economic Services has responsibility for licensing day care facilities in Dade, Duval and Orange counties. A state licensing law chapter 74-113 gave the Department of HRS the responsibility to establish statewide standards, to ensure maintenance of these standards and to approve county administration and enforcement in regulating conditions in child care facilities through a program of licensing. The Office of Social and Economic Services was deligated as the agency for licensure with the day care section providing the staff. Local licensing authorities must be approved annually by the state in order to continue licensure activities each year.

Within the Social and Economic Services Program Office is the Family and Children's Services Program with the state WIN Unit. At the state level there is a Program Supervisor for WIN and a vacant position for a Program Consultant. Of the 67 counties in the state, local WIN caseworkers (or social services workers with WIN responsibilities) are present in 39 counties. (28 counties are too small or remote to warrant WIN staff). In-home care and relative (out of home) care is exclusively for WIN participants and more than 50% of WIN day care is through in-home or relative home care. WIN also negotiates agreements with individual family day care providers and local WIN workers monitor these homes for compliance with state or local licensing standards. (Some counties require licensure for in-home care, based on local in-home care standards; other counties approve homes for individual children). If a WIN child is placed in a contracted facility, Title XX funds are used to pay for care. If this is not the case, WIN funds are used. Thus, there is interface of funding mechanisms.

The Reorganization Act of 1975 authorized the establishment of an Advisory Council for each Program Office. The Child Care Advisory Council created within the department in accordance with chapter 74-113 continue to function as the

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 74-75	FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$122,047,988	$213,913,750
Total Child Care Funds (Titles IV-A/XX)	10,900,299	18,927,190
Percentage of Total Social Services Funds Allocated to Child Care	9%	9%

*From State Title XX Plan

The total Social Services funds available to the DHRS include Title XX funds, additional federal funds, state general funds, local funds, and donated funds. The total for FY '76 is, therefore, considerably higher than the $121,695,000 total that one would expect with Florida's federal ceiling of $91,500,000. These figures, for FY 75-76, have been annualized accordingly, since the state plan is for a 9-month program year.

The total child care funds are only inclusive of normal child day care services and does not include WIN.

Due to personnel changes resulting from the reorganization of the DHRS, the number of FTE involved in child day care management could not be estimated.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public and Private Contracted Centers*	282*	11,497	$10,703,682	$18,517,765
Group Day Care Homes	--	--	--	--
Family Day Care Homes	2**	271	196,617	409,425
Relative Home and In-home Care***	UNK	UNK	UNK	UNK
TOTAL	284	11,768	$10,900,299****	$18,927,190****

* This figure includes both central agencies (umbrella agencies) and their individual members.

** This figure includes only the 2 FDCH systems under contract. The number of member homes was unavailable. The state only contracts with FDCH systems, not individual providers.

*** The following estimates of number of WIN children presently in day care have been given by state respondents. However, no actual or anticipated expenditures for WIN day care could be broken out for FY '76. It is known that $1,195,440.30 was expended in FY 74-75 from WIN funding for WIN day care. Estimates of the number of WIN children presently receiving day care services are:

Number	Provider Type
4975	In home
1240	Family day care
1620	Center care

**** Does not include expenditures for WIN day care.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	family	local
Standardized Social Service Forms	yes	family	state/local
Computerized Records	yes	family	state

Extent of Data: All required data is retrievable through the state's computerized records. This includes client identifiers and demographic descriptors, service delivery information and eligibility status. At present there is no provider information aggregated, but this will be done as of July 1, 1976 when the state's computer system will incorporate all required data.

Data Aggregation: Data is collected locally within each program office (e.g., SES Program Office) and aggregated at the state level.

1-5 STATUTES

There are many local fire, health, zoning and business licensing regulations that govern day care facilities and these vary greatly by county.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

State respondents identified the following problems:

- lack of adequate resources, both in personnel and state and local money appropriated for day care to meet a high level of need.
- constant changes in federal regulations and federal regulation program guides leads to an inordinate amount of time consumed in changing state regulations, re-interpretation, development, and implementation of new guidelines.

The following strengths were indicated:

- flexibility in choice of provider type in day care
- good cooperation between district and state levels
- district offices evaluate need in community and provider capability very well
- ability to purchase day care in open market (i.e., purchasing care for individual child in private day care center); thus avoiding isolation of AFDC child from mainstream.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Office of Grants Management (presently under reorganization, called the Office of Grants Services) and the Division of Planning and Evaluation, (which no longer exists but is part of the office for Program Planning) were jointly responsible for conducting the required needs assessment.

Staffing: The number of core persons allocated to this task was unavailable.

2-2 PROCESS

Scope: A questionnaire was distributed at public meetings throughout the state; almost half the respondents were administrators and service workers for various health and social services agencies. 23 counties, predominantly rural, has no respondents to the needs assessment questionnaire; consequently, predominantly rural needs were under represented.

This questionnaire asked respondents how service agencies in their area were meeting the needs of the people with serious problems; they were asked to evaluate various problems needing attention by service agencies through a 5-point differential scale from "most important" to "not important" and they were requested to rank the 5 most pressing problem areas of those cited in previous questions. They were also asked to rank the 5 population target groups viewed as requiring more or a better quality of service.

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Limited Usage	In-house statistics reviewed.
Agency Personnel	Limited Usage	State's D.O. staff conducted public meetings to assess local needs.
Community Agencies	Limited Usage	Community agencies were invited to attend these meetings and respond to questionnaire on needs.
Service Providers	Limited Usage	No specific survey of providers or consumers was conducted. Both groups were invited to public meetings and were given the opportunity for input in the form of presentations to assembled group at meetings.
Consumers	Limited Usage	
General Public	Limited Usage	

2-3 RESULTS/UTILIZATION

Time constraints and an already unflexible state appropriation that was near maximum allotment prohibited any expansion of services based on the needs assessment. However, of the 5 most pressing needs ranked by the 626 respondents, needs of abused children was ranked third and child day care was not considered as one of the 5 most pressing needs.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: Each Program Office is responsible for planning, policy formulation and standard setting for their particular program and for coordinating this effort through the Office for Program Planning and Development (OPPD); the Deputy Assistant Secretary for Program Planning, within the OPPD, has primary responsibility for Title XX planning.

Title XX Planning: The Office of Grants Management (now called Grants Services, within the Office for Administrative Services) and the Division of Planning and Evaluation (now a part of the Office for Program Planning) shared responsibility for Title XX planning. A task force, composed of state staff from the various program offices contributed input into the planning process. There was no district or local input.

Staffing: It was estimated that 20 FTE, over a 5 month period, planned for Title XX, through meetings with staff every 2 weeks and through statewide meetings to which the public was invited to attend.

3-2 PLANNING PROCESS

Title XX planning was done exclusively by state level staff. There was no WIN or Title IV-B interface.

The planning process was not significantly different from previous planning efforts, with the exception of the inclusion of public input through public meetings.

3-3 RESULTS

Areas For Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number To Be Served	Yes	Yes	12,660	Same
Population Categories To Be Served	Yes	Yes	AFDC-7501 IE-5159	Same
Priority Population Categories	No	No		
Service Provider Types	Yes	No	Centers FDCH	
Special Provider Attributes	No	No		
Geographical Areas	Yes	Yes	11 Multi-county districts	
Dollars Allocated For Child Care Service	Yes	Yes	$18,927,190 (annualized)	More

Planned Organizational Changes: A Title XX Planning Coordination Unit, with liaisons to program offices, is now being set up in the Office of Program Planning.

3-4 UTILIZATION/IMPLEMENTATION

There were no changes in the administration or delivery of day care services that resulted from Title XX planning.

4. EVALUATION

4-1 ORGANIZATION

No comprehensive child day care evaluations have been conducted in the state since the passage of Title XX. However, an in-depth evaluation was conducted in 1974 to assess to what extent the provision of Title IV-A day care:

- had enabled financially disadvantaged mothers to become self sufficient,
- was meeting the need in the community for subsidized child care,
- was providing a quality service to children,
- was affected by the regulations governing the use of the funds.

4-2 ACTIVITIES AND PROCESS

The evaluation was undertaken in three counties: Dade County, Volusia County, and Pinellas County. Interviews were conducted with day care administrators and a sample of providers and clients in each county. The interviews were conducted utilizing a survey questionnaire.

4-3 RESULTS

Conclusions reached by the evaluation study included:

- Eight percent of the survey respondents were in the process of becoming self-supporting. Four-firths of the survey respondents also stated that it would be difficult for them to continue working if their children were not allowed to continue to be in the Title IV-A day care program. Thus, it appears that the provision of Title IV-A day care for children had assisted the vast majority of the survey respondents to become self-supporting.

- There were 157,700 children in female-headed households below the poverty line. Only 7,046 children were in Title IV-A day care programs; another 2,114 were in WIN day care programs. This combined total was only about 5% of the total children in female-headed households below the poverty line. Even if the target population were restricted to children under 6 in female-headed households below poverty, Title IV-A day care was only reaching about 12% of those eligible children.

- The quality of Title IV-A day care was generally very good. This was substantiated by evaluations by state and local contractors, the observations and interviews of the study team, and the perceptions of a systematic sample of parents in Dade County.

- The effectiveness of the day care program was constrained and in some cases adversely affected by current administrative policies and levels of support. The evaluating team made recommendations for changes in administrative areas, particularly in the central (umbrella) agency administration. There was difficulty noted in getting children into day care quickly enough to meet needs.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is a toll-free Information and Referral service in the state; however, it is advertised primarily for information relating to aging and vocational rehabilatation. State respondents noted that it is not used very much presently and has little impact on areas of day care concern.

There is also a pilot Information and Referral project operating in six or seven counties but it has not been evaluated as yet, and no data was available.

Most Information and Referral is disseminated through District Offices. The Social and Economic Services Program Offices are divided into Social Services and Assistance Payments units. The AP worker transfers clients needing social services to the Social Services worker who is the primary person involved in the dissemination of information.

There is also a Community Resource Development Unit in each district office which is usually headed by the POS Specialist in the district. State Day Care Consultants (who will be part of district offices as of July 1, 1976, rather than part of the state Central Office Day Care Section) and the POS Specialist work within the community to try and develop local resources for day care and the local sources of money necessary to match Title XX federal participation. (In Florida the state contributes 12 1/2% of the 25% necessary to match federal funds, and 12 1/2% must come from local sources.)

5-2 PROCESS

Assembling Information: The SES Program Office, Day Care Section sends a list of current contracted day care facilities to the POS Specialist and social services workers in the District Offices. As new contracts are signed, amended or renewed, they are added to this list and sent to the districts.

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Contracted Centers	Yes	Periodically	Yes	Yes	Yes	No
Contracted FDC Homes*	Yes	Periodically	Yes	Yes	Yes	No
In-Home	No					

* The state only contracts with family day care home systems, not with independent family day care homes. Thus, only information on contracted systems is available, although independent homes are utilized by WIN recepients. There is no information systematically assembled on WIN homes utilized.

Disseminating Information: This is done primarily by social services workers, in cooperation with the POS Specialist, in the district offices. Since all non-WIN day care is through contracted facilities, the district workers are aware of what facilities in their area are currently under contract.

Outreach attempts to clients vary by county. In some counties, central agency day care providers disseminate information in addition to day care staff. Where slots are limited, outreach is minimized to avoid stimulating needs that cannot be filled. Where slots are available, outreach is aggressive. Word of mouth, media, and flyers are used, but vary by county.

Assessing Client Need/Referral and Follow-up: The social services worker assesses the need for day care services. Potential client must, aside from being part of an eligible category based on AFDC or Income, also be in a work training, or incapacity situation to receive day care services. If this is ascertained, the social services worker completes the Title XX application with client, checks facility listing for the area and calls the provider to see if there is available place for child. If this is the case, the client is given all pertinent information and it is suggested that the client visit the facility. If client ultimately accepts this placement, the Title XX application is sent to the provider and the district office keeps a copy of it on file. It is the responsibility of the provider to contact the social services worker when service begins, and to assess the fee, if any, and collect it. In an effort to provide further convenience to clients, the provider may initiate the needs assessment through collection of information from the client. This information is then forwarded to SES staff where a final determination of eligibility is made and services are authorized. Follow-up occurs most often at the time of eligibility redetermination or earlier if problems dictate.

5-3 RESULTS

Time Period: One Year

Number of clients seeking social services referral	75,000
Number of clients seeking child care referral	UNK
Number of clients actively assisted	UNK
Number of clients securing their own services	UNK
Number of clients unable to secure services	UNK

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The SES Program Office establishes client eligibility policy as it relates to program concerns; the office of Grants Services establishes eligibility regulations with SES input.

The SES Program Office trains contracted providers in client eligibility determination. The social service worker also is responsible for client eligibility determination and for final approval of provider determinations.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- o AFDC WIN and non-WIN
- o SSI
- o Income Eligibles: Defined as those families whose gross monthly income does not exceed 67% of the state's median income, adjusted for family size. (For a family of 4 the maximum gross monthly income is $750).

Free day care services are provided to those families whose gross monthly income does not exceed 39% of the state's median (For a family of 4 the maximum gross monthly income for free day care is $438).

Between 39% and 67% of the state's median income, a fee schedule has been developed. For a family of 4, with gross monthly income between $439 - $750, the fee ranges from $2.00/wk. - $20.00/wk. for one child receiving service. For each additional child in the same family receiving day care services, 25% of the decided fee for the first child is charged.

All families earning over 67% of the state's median income must bear the full cost for day care services.

In addition to meeting one of the categories for eligibility, the service must be required for one of the following reasons:

- o Employment or training which will lead to employment
- o Incapacity of parent or guardian
- o Protective service for child because of abuse, neglect or exploitation

Revisions Since the Passage of Title XX: Since the "potential recipient" category of Title IV-A was changed to a broader "income eligible" category, the state adjusted their Income Scale and their Fee Schedule accordingly.

Materials to Ensure Uniform Interpretations: A manual for Title XX eligibility determination was developed by the Office of Grants Management in May, 1976 for use by frontline workers.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms were developed by the Office of Grants Management (as of July 1, 1976, the Office of Grants Services) and are in use throughout the state. These are completed by a briefed provider or the district social services worker.

Eligibility Determination and Verification: Both briefed providers (contracted) and social service workers determine eligibility with final approval for the provider's determination resting with the social services worker.

If possible, documentation (e.g., Medicaid care, pay stubs) must be produced by client. However, client can made a self-declaration of status and earnings if documentation is unavailable.

The time lapse between application and determination of eligibility varies from 3 to 30 days.

Quality Control: The client is responsible for informing worker or provider (who, in turn, informs worker) of any changes in status or income that might affect eligibility. Other quality control procedures have yet to be developed.

Redetermination of Eligibility: Occurs every 6 months. The same procedure is utilized as in the initial determination, including a re-assessment of need for the service.

Appeals: Appeals are process through the Hearing Section of the SES Program Office, income maintainence unit. No information on number of appeals was available, though the number was thought to be small. This will not be the procedure in the future as guidelines will be developed for the appeals process.

6-4 PARENT FEES

If the family's gross annual income is between 39% - 67% of the state median income, adjusted for family size, a fee scale is utilized. (For a family of 4 with gross annual income between $5,267 - $9,000, a fee of between $2.00 - $20.00 per week is charged for one child in day care). Each additional child in the same family needing day care services is assessed 25% of the first child's fee. This fee is based on the family's ability to pay for service, regardless of provider type. The fee is the same, whether for full time or part time care.

Extensive efforts are underway toward revision of the fee schedule.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Day Care Section is responsible for evaluating local licensing standards to ensure that these are equal to or more stringent than 1975 state standards in counties which wish to do their own licensure, based on their local standards. The local licensing authority (e.g., County Health Department, local Licensing Board) must also be approved annually by the Department of H.R.S.

Staffing: There are local licensing workers in District Offices who are responsible for licensure in the 3 counties (Dade, Duval, and Orange) for which state is responsible. These licensing workers have authority (as of April, 1976) to recommend to the D.A. that a license be denied or revoked and the D.A. may initiate legal proceedings if the facility operator refuses to cease operation.

There are local licensing workers in counties governed by local licensing authorities. In such counties, approved by the state to conduct their own licensure activities, revocation and denial of licenses is a local responsibility.

The number of staff, statewide, who perform licensure functions, could not be estimated as it varies widely by locality. There are 11 licensing workers, 2 supervisors and 4 clerical positions for Dade, Duval and Orange Counties.

7-2 STANDARDS

Standards Development Process: Florida's regulations with respect to licensure or approval of day care facilities is rather complicated, as is the locus of responsibility for this function. Until 1974 there was no statewide legislation requiring licensure of child care facilities. There were state licensing standards adopted in 1956, revised in 1960 and 1970, that governed the licensing procedures in 3 of Florida's 67 counties. The legal authority was chapter 2.1013.A law passed in 1974 and based on population. The state Day Care Section was responsible for licensure in these 3 counties and they had no jurisdiction in the rest of the state. At this time, prior to 1974, 17 County Health Departments and 2 local Licensure Boards did, of their own accord, license facilities based on local licensing ordinances. Aside from the 3 counties licensed by the state, and the 19 counties licensing locally, there was no licensing activity in the state.

In July, 1975, the child care study and family day care study were adopted by the Department of HRS. These standards were prepared by the DHRS, Division of Family Services staff with input from a

15 member Child Care Advisory Council created to assist state personnel with the preparation of these standards. Input was also sought from persons with expertise in areas of day care programming. The standards adopted were minimal standards, less stringent than the standards for Dade, Duval or Orange counties. There was intense pressure to enact minimal standards. The responsibility for licensing activity was still to be shared by both state and local authorities.

Presently there are local licensing workers in 3 District Offices who have responsibility for the licensure of day care facilities in 3 counties, based on the 1975 state standards. There are 8 additional counties which have requested that the state be responsible for their licensure activities. However, thus far, there is no state appropriation for staff to persorm this function so no licensing is being done in these counties to date, pending approval of staff requests submitted in the 1976-77 budget. It is now the responsibility of the state Day Care Section (of the SES Program Office) to evaluate local licensing authorities in the counties and decide whether their local standards are at least equal to or more stringent than the state standards. If this is so they may license their own local facilities and an evaluation is conducted annually to ensure their meeting state standards. Local board administrative procedures must also be approved by the state annually. There are currently 27 County Health Departments and 3 County Licensing Boards designated to license child care facilities. As of April, 1976 27 counties have not responded to inquiries from the state Day Care Section as to who shall have jurisdiction over licensure; thus, there is no child care licensing in 35 of the 67 counties in Florida.

It should be noted that, although all facilities must be licensed on the basis of the 1975 state standards, all facilities serving FFP children must, in addition, be approved by the state Day Care Section as meeting the 1974 minimum standards for child care programs which are more stringent.

Content of Standards:

Staff-child Ratios

(1975 State Standards)

Centers:

Ages	Ratios
Under 1	1:6
1-2	1:8
2-3	1:12
3-4	1:15
4-5	1:20
5 & older	1:25

(1974 standards used to license all facilities serving FFP children)

Ages	Ratios
0-3 yrs.	1:5
4-10 yrs.	1:10
10-14 yrs.	1:15

Group Day Care Homes: None

Family Day Care Homes:

(1975 State Standards)

No more than 5 preschool and elementary school children from more than one unrelated family including preschool children living in the home and preschool children received for day care who are related to the resident caregiver. Elementary school siblings of the preschool children received for day care may also be cared for outside of school hrs. provided the total number of children including the caregiver's own and those related to her does not exceed 10.

(1974 Standards used for FFP facilities)

5 children total, including mother's own children. Age limitations at discretion of responsible social service or day care agency.

Additional Components of Standards: Neither the 1975 state minimal standards nor the more stringent 1974 state standards have the following provisions (required by FIDCR):

- Social Services
- Health of children and safety of environment must be under the supervision of a physician
- Arrangements must exist for providing treatment and insuring that immunizations are available to all children. There must be a daily evaluation of each child.
- Staff training
- Non professional staff must be given career progression opportunities which include job upgrading and work related training and education.
- Parent involvement
- Administration
- Educational opportunities and activities must be provided and under the supervision of one trained and/or experienced in the field of early childhood development (recomm. by FIDCR)

The more stringent 1974 standards differ from the 1975 minimal state standards in tne following areas:

- The 1974 standards require that each center have a daily program to provide meaningful experiences, and to meet social, emotional, physical, and intellectual needs of the child. There is no such provision in the 1975 standards.
- The 1974 standards specify that, at time of enrollment, each child must have a written statement certifying him/her free of communicable diseases and noting any major physical or mental defects. Statement renewed annually.
- The 1975 standards specify that, within 30 days of enrollment, each child must have a written statement on file attesting that child is in good health, any known irregular condition is under treatment, free of tuberculosis, immunizations are up to date of being brought up to date. Physical examination every 2 years.
- The 1974 standards require that all personnel have an annual X-ray and serology test and that operators over 65 must have a physical exam.
- The 1975 standards require that, after 30 days of employment, statement must be on file that staff member is physically qualified to care for children and free of tuberculosis. Evidence of freedom of tuberculosis must be provided annually.

Comparison of Standards with FIDCR: As noted above in more detail, neither set of state standards has:

- Parent involvement provision
- Administration provision
- Staff training provision
- Complete health provisions (as defined in FIDCR)
- Complete educational services provisions (as recommended in FIDCR)

There is no FIDCR certification process in the state facilities serving FFP children must be approved by state Day Care Section as meeting 1974 standards in addition to the state-required 1975 standards, having a license by the appropriate licensing agency.

Since providers are not requested to comply with FIDCR, state staff could not estimate the percentage of providers willing or able to comply with FIDCR.

From the Department of HRS perspective, FIDCR is unreasonable in some areas and excessively costly. State respondents felt that the 1974 state standards are adequate and that when a state has complete autonomy to set standards, higher levels of compliance are more likely to result.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	# Sanctioned	% Disq.	Planned	Actual
Public Centers	License	UNK	UNK	UNK	Annual	Annual
Private Centers	License	UNK	UNK	UNK	Annual	Annual
Group Day Care Homes	NONE	NONE	NONE	NONE		
Family Day Care Homes	License/ Approval*	UNK	UNK	UNK	Annual	Annual
Relative DCH's	Approval/ License*	UNK	UNK	UNK	varies by individual arrangement.	
In-Home	Approval/ License*	UNK	UNK	UNK		

*See 7-4 LICENSING PROCESS, Areas of Investigation for explication.

Fees for Licenses (Approvals): None

Content of License: For both day care centers and family day care homes the license includes:

- Name and address of facility
- Name of operator
- Maximum number of children to be served by age range (e.g., number of infants)
- Date valid

7-4 LICENSING PROCESS

Areas of Investigation: According to state law, FDCH's may be licensed if they are presently being licensed under an existing county licensing ordinance or if the Board of County Commissioners passes a resolution that FDCH's may report annually to the DHRS the following information:

- Name and address of home
- Name of operator
- Number of children served
- Availability of emergency care

Licensing workers investigate the physical facility program, and all areas covered in state standards when conducting a licensing study for both centers and family day care home systems. They also coordinate local fire and health department inspections and assure compliance.

Independent family day care, in-home, and relative home providers are approved individually, by local WIN caseworkers who conduct approval studies. In some counties local ordinance requires fire and helath department inspections in addition. A letter of approval is issued locally to all approved homes for children receiving care paid by WIN funds.

Extent and Nature of Process: Licensing and approval studies are conducted by local staff and vary considerably. WIN respondents noted that local approval studies for WIN homes usually take one visit by the caseworker plus visits by the fire and health departments when required.

The impediments to licensure and approval were noted as primarily in the area of physical facility condition. There are also local differences in requirements (e.g., local building codes).

Conditional Licenses: A one-year, non-renewable license may be issued to facilities once health and safety requirements are met, if the local licensing authority has approved this facility as meeting a local day care need. This provisional license can be suspended if inspection indicates that insufficient progress has been made toward full compliance.

Revocations: A license can be revoked by local licensing authority for reasonable cause. The provider is notified in writing, stating the grounds upon which the license is being revoked. If the provider makes no written request for a hearing within 15 days, the license is deemed revoked. If a request for a hearing is received, a hearing is held within 30 days. Providers have the right to appeal the outcome of the hearing.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Until July 1, 1976, monitoring for compliance with state standards was the responsibility of the 8 state Day Care Consultants and the local licensing authorities in counties which conduct their own licensure activities. After July, 1976, the Day Care Consultants will be housed in District offices and will perform monitoring functions from the district rather than state level. Monitoring will still be conducted by county authorities where applicable. State level SES Program Office staff will also carry some monitoring functions.

Office of Grants Services has 4-5 analysts responsible for monitoring of contracted facilities (i.e., contract compliance). In addition, accountants in the Office of Financial Management within the Office of Administrative Services, also engage in occasional fiscal monitoring.

The state Day Care staff is also responsible for monitoring local management activities - central agency and family day care systems management functions, in addition to program monitoring of providers. The responsibility for fiscal compliance has rested with the Bureau of Financial Services, now under Administrative Services.

Central agencies and administrative arms of family day care home systems also monitor their member providers, as per their contractual agreements with the state. (They monitor for contract compliance).

WIN-SAU workers monitor homes as least once per month as part of their WIN caseload responsibilities.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Santioned	Of All Serving FFP's	Of All Contracted		
(Contracted) Public Centers	State Day Care Consultants or local licensing authority staff; central agency staff;POS staff	100%	100%	100%	Every 6 Months	4 hours
(Contracted) Private Centers	Same as above	100%	100%	100%	Every 6 Months	4 hours
Family Day Care Home Systems	State Day care consultants			100%	Every 6 Months	2 hrs.
Independent FDCH, Relative Home, In-Home	Local WIN-SAU Worker		100%		1x/month	1 hr.

8-3 PROCESS

Federal regulations, state laws, POS contracts, and state and local regulations provide the basis for the monitoring effort.

Both centers and FDC home systems are monitored through scheduled site visits, unscheduled site visits, desk reviews, and telephone conferences. Scheduled visits are the dominant strategy for monitoring. Site visits are conducted using a standardized check list with a narrative summary. Written reports are given to the provider agency and to District office staff.

It was reported that monitoring is scheduled in response to problems brought to the agencies' attention, as well as on a regular basis.

Priority areas for monitoring include:

- Health, safety and sanitation
- Client eligibility
- Staff:child ratios
- Civil rights

When non-compliance is found, the provider is informed about areas of non-compliance and a target date is set for achieving compliance. It was reported that follow-up visits might also be made if it is indicated.

8-4 RESULTS

State respondents reported that there aren't a sizeable number of providers out of compliance with the 1975 state standards and that there are very few Title XX providers out of compliance with the 1974 standards.

Staff:child ratio and parent involvement were seen as the most difficult areas for achieving compliance.

It was stated that technical assistance is most often given when providers show weaknesses in programming and in the client eligibility determination process. This is given by day care consultants and POS specialists.

Although monitoring is considered a significant management function, it was reported that the staff allocation is insufficient.

It is believed that stabilization and clarification of required standards and regulations, the development of an effective in-service training program, and refinement of the monitoring instruments would result in improvements to the effectiveness of the monitoring effort.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The staff of the state day care section has had the primary responsibility for providing T & TA to both district office social services staff and day care providers. T & TA is provided to individual centers, central agency staff, family day care agency staff and to member providers. Training activities include special sessions on child development and program-related subjects; also to inform providers of changes in regulations, policy, and policy interpretation. Technical Assistance generally involves on site visits to facilities for direct consultation on programming, standards, and application and implementation of policies and regulations.

It was stated that the staff of the Day Care Section receives T & TA from other state personnel. These include the Administrator of the Family and Children's Services Section of the SES and personnel from the Purchase of Services Section and the Bureau of Financial Services. Generally, this T & TA consists of group meetings concerning federal and/or state regulations, policy interpretation, and program planning.

Local: District Office social services workers and POS Specialists give T & TA to local providers in eligibility determination and proposal development. WIN-SAU workers have individual consultation with in-home and relative home providers if requested or if problem areas emerge.

Staff Background: It was stated that a formal education in social work or early childhood is required as well as experience in early childhood education. Staff must also have knowledge of policies, programs, and standards as well as ability to relate to providers.

In-house training is provided when new information is introduced.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State day care staff	SES Family and Children's Services Section & POS Section (SES)&Bureau of Financial Services (DHRS)	Group meetings, & individual consultations to discuss changing federal and/or state regulations & program areas.	As needed
District Social Services staff and POS specialists	State day care consultants	Eligibility determination, federal policy interpretation, Title XX regulations -- workshops given	1 day (all counties)
Local WIN-SAU workers	Supervisor, WIN Program	Supervision of homes discussed and completion of forms and applications	as requested

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Center Central agency staff, FDCH agency staff and member providers	State Day Care Consultants	All aspects of program, child development, administration and policy. Through workshops and consultations.	Periodically
"	D.O. Social services workers and POS Specialists	Eligibility determination, policies (Federal/state), regulations	As needed (varies by district)
Relative home, in-home providers and independent FDC providers	Local WIN-SAU workers	T.A. in problem areas discerned or areas requested by provider	As needed (varies by area)

9-3 PROCESS

The determination of need for T & TA includes requests from providers and the identification of special T & TA needs by day care consultants. The state also attempt to anticipate T & TA needs by disseminating new information on regulations and policies.

It was reported that T & TA from the state level was most needed by providers in one-facility operations. Standards, administration and programming were identified as the main content areas in which T & TA is needed. Through contractual agreements, central agencies provide some T & TA to sub-contract providers.

Workshops, small group meetings, and individual consultations are utilized to provide T & TA.

9-4 RESULTS

State staff noted that the effectiveness of the T & TA has been limited, due to the extent of need and the inadequate day care section staff size. It was also reported that frequent changes in regulations has generated confusion among providers, and resulted in an inordinate amount of time expended on regulation interpretation and implementation of new policies and procedures to conform to regulatory changes.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State: The reorganization of the DHRS, still not complete, has resulted in staff uncertainty regarding eventual divisional sectional responsibilities for fiscal areas. Under the organizational structure under which the DHRS currently operates, there is an Office of Administrative Services (for overall support services), Office of Grants Services (with responsibility for fiscal policy development, reimbursement rates and fee schedule development), a Department for Accounting (which actually makes payments to providers), and a Comptroller's Office (which must approve and issue payment if it is for an amount greater than $25,000). The SES Program Office also has a Bureau of Financial Services with a POS Section responsible for processing of reimbursement request for providers of SES services.

Local: It is anticipated that as of July 1, 1976, all District Offices will negotiate their own contracts. There will be District Grants Services Managers who will have the responsibility for approving all POS contracts which then will be sent to the Department of Accounting Office for verification of accuracy and final approval.

Presently, the provider sends a reimbursement (billing) form, based on daily attendance records, to the SES, Bureau of Financial Services (BFS), POS section. The provider keeps attendance records and excused absences in his files; such documentation is necessary for audit purposes and the provider can be paid for up to 10 days of a child's illness with such documentation.

The POS Section accountants manually check for the provider's accuracy. If the payment is small, the POS Section can issue it. If not it must be sent to the state level Department of Accounting office which verifies accuracy and sends the issued check back to the BFS which pays the provider.

Voucher from in-home and relative home providers are sent to local WIN workers who check for accuracy and then forward it to the state level Bureau of Financial Services (soon to be called the Financial Services Section). They check on rate accuracy and approve it for payment by the Comptroller who sends the vendor payment directly to the provider.

10-2 FISCAL MATERIALS

All fiscal materials are complete and regularly used. Fiscal policies were developed by the Office for Administration; however, under reorganization new policies will be developed by the Office of Grants Services. All other fiscal materials were developed by the POS section and were rated good.

10-3 INCOME SOURCES

Source	Amount/% Fy 74-75	Amount/% 9 mos.
Title XX/IV-A	$10,900,299	$18,927,190
WIN	1,460,622	1,590,042
CWS	0	0
Unmatched State Funds	0	0
Other	0	0
TOTAL	$12,360,921	$20,517,232

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Purchase of Service Contracted Facilities	$10,900,298.84	$18,927,190
Vendor-Paid Facilities (WIN)	1,195,440.30	1,596,000
Direct Provision/Operation	0	0
Client Purchase with Social Service Reimbursement	0	0
TOTAL	$12,095,739.14	$20,523,190

Description of Funding Methods/Processes:

A. Purchase of Service: All day care service not authorized through WIN (and also some of WIN) is through contracted arrangements. The state Day Care Consultants are responsible for developing resources in the community, since all local areas must fund 12 1/2% of the 25% that the state is required to match for Title XX money. Once the local funding has been located, the day care consultant negotiates a contract with some individual providers (single child care centers only) the central agency of a day care center system or the umbrella agency of a system of family day care homes. The proposed contract is sent to the state Bureau of

Financial Services (which must approve the fiscal portion of the proposal), to the District Office POS Specialist (who must agree that this service is needed in the community), and to the DHRS General Services fiscal and legal staff (who must check that it meets state and federal requirements for purchase of service).

If all 3 units approve the proposed contract, which is most often a 1-year contract, a copy of this proposed contract is then sent to provider and the donor is sent a local donor contract.

After local execution of the contract, the Day Care Section sends two copies of locally executed contract to the DHRS Central SES Program Office and to the General Services Office. The SES Program Staff Director signs the contract if it is less than a $100,000. If it is between $100,000 - $250,000, the Assistant Secretary for Program Planning and Development must also sign the contract. If greater than $250,000, the Secretary of DHRS must also sign it. Thus one contract may be approved and signed by 3 administrators. Some revisions in this procedure is anticipated as soon as the districts are fully staffed and functions accepted.

After the contract is signed, the provider may begin completing Title XX applications for individual children and, after D.O. social services worker approval or eligibility determination, service may begin.

There is large scale sub-contracting in the state with Central Agencies and FDCH umbrella agencies and they, in turn, subcontract with centers and homes respectively. It is felt that Central Agencies and FDCH umbrella agencies are better equipped to administer family day care programs.

There are contracts written for central agencies umbrella agencies, and individual center providers.

There are individual agreements written with WIN in-home, relative home, and family day care providers.

All payment to providers is channelled through several units, each of which manually checks for accuracy before approving payment to ensure quality control.

B. Direct Provision: None

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child/day and per child/week. Centers: full day = more than 6 hrs. WIN in-home: full day = more than 4 hrs. Center: 1/2 day = less than 6 hrs. WIN in-home 1/2 day = less than 4 hrs.

Provider Type	Rates	
	Basis	Maximum
Contracted Public Centers and WIN	Actual costs in community (maximum amount is legislatively based)	4 hrs/day=$2.38 child/day. 6 hr/day=$3.96 child/day. More than 6 hrs/day=$4.24 child/day. Centers and FDCH Systems: Birth-2 1/2 yrs: $6.33 child/day full-time. 2 1/2-6 yrs: $5.65 child/day full-time.
		WIN: $22 child/wk full-time $11 child/wk 1/2 time
Contracted Private Centers and WIN	Same as above	Same as public centers
		WIN: $22 child/wk full-time $11 child/wk 1/2 time
Systems of Family Day Care Homes and WIN	Same as above	Systems: Same as public centers
		WIN: $22 child/wk full-time $11 child/wk 1/2 time
In-home	UNK	$11 child/wk full-time $5.50 child/wk 1/2 time

10-6 IN-HOME CARE

Because of the minimum wage law, Florida cut back in-home care use (the babysitter arrangement). Florida doesn't consider relative home care under minimum wage law jurisdiction, based on HEW interpretation by the state; thus, relative home care is utilized much more in the state now.

10-7 INCOME ELIGIBLES AND PARENT FEES

Families whose gross monthly income does not exceed 39% of the state's median income, adjusted for family size, are entitled to free day care services.

Families with gross monthly income between 39% and 67% of the state's median must pay a fee for day care services. The fee is based on the family's ability to pay and is therefore the same, regardless of whether it is for full or part day care. If more than 1 child in a family receives day care services, 25% of the fee for the 1st child is charged for each additional child.

10-8 DONATIONS

Each local area must contribute 12 1/2% of the state's 25% match of Title XX funds. These local donor contributions are the only "donations" to the state.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: While Georgia is characterized as "State-Supervised - County-Administered," it more closely approximates the State-Administered model both structurally and operationally.

Description of Administrative Services: The Department of Human Resources (DHR) is the (umbrella) agency designated to administer the state's social services programs. This Department is comprised of 6 program divisions; a division for Administration (Office of Deputy Commissioner for Administration) which includes General Support Services, Accounting, the Management Information Systems (MIS), and the Title XX Administration Unit, a centralized support unit that comes directly out of the Commissioner's Office of the Department of Human Resources. Planning and Budget, Evaluation and Research, and State and Local Coordination (which supervises District Coordinator staff) are also directly channeled from the Commissioner's Office.

The responsibility for child day care services rests with the Division of Social Services (DSS), which licenses and approves day care centers, and the Title XX Administration, which is responsible for contracting with day care providers through its Contract Services section. The DSS, one of the 6 program divisions of the DHR, supervises all local social services delivery by county level Department of Family and Children Services (DFCS) through its Field Services section.

The state level Licensing Unit, within the Division of Social Services, has responsibility for licensure of private day care centers, approval of public day care centers, and monitoring of both public and private centers.

The state Division of Social Services has a district level of operations. There are 10 Service Districts of the DHR in the state; DSS staff is housed in each district office. These state staff at the district level provide training and technical assistance to county Department of Family and Children Services staff. State Licensing workers also are housed in the District offices, as are Field Services representatives from some or all of the 6 program divisions of the DHR.

The Georgia site visit was conducted in January 1976. Interviews were held with state staff members and county staff members in Chatham and Glynn counties. Interviews were held with state staff again in May, 1976.

Fiscal management is a function performed by several units. Local WIN and non-WIN day care, which is primarily family day care, relative home, and in-home care, is the overall fiscal responsibility of the state Division of Social Services, Field Services section. This fiscal management takes the form of authorization for local vendor payments to providers. County Department of Family and Children Services staff negotiate agreements with providers for the care of individual children, pay providers from their local budgets after DSS authorization, and are reimbursed by the state level DHR Division of Administration.

The Title XX Administration Unit has the responsibility for fiscal management of contracted providers, through its Contract Services Section. Contract Services has units designated for Training (for both local staff and contracted provider agencies), Monitoring (for contract compliance), and Fiscal Review.

Within the DSS is the WIN Unit. There are 27 state level WIN staff and an unknown number of caseworkers at the county level who have WIN responsibilities. Of these state staff, there is a Chief, WIN Unit, 4 Work Training Officers who work in each of the 4 geographic regions of the state (state no longer officially divides state into 4 geographic regions; however, this is a holdover) supervising and training the 19 Work Training Representatives who are housed throughout the state in District Offices of DHR or the Department of Labor. These Work Training Representatives are responsible for WIN program supervision and training and technical assistance to county level WIN caseworkers in the DFCS. In addition, there are 3 Child Care Specialists on the WIN state staff. (The WIN Unit had planned to hire 57 Child care specialists but budget cuts in the state appropriation reduced this to 3 staff.) These Child care specialists are located in one of the 19 WIN project areas determined by the Department of Labor for the state. Their jurisdiciton is over 8 counties. Their responsibilities include resource development, recruitment of providers, approval studies, and monitoring the family day care homes, within the 8-county project area, for standards compliance. They provide workshops for these FDCH providers (currently there are 60 in operation in their area) and provide T&TA to county level WIN staff.

Both the Work Training Representatives and Child Care Specialists attend community meetings (e.g., factories, churches, etc.) to try and involve the community in meeting day care needs. They organize meetings to explain state child care standards and child development principles.

In Georgia, both in-home and relative out-of-home care is used exclusively for WIN children. In February 1975, relative (out-of-home) care standards were approved. They were developed specifically to open up resources for WIN day care since prior to their development, relative care was under the family day care home standards, and this was too stringent and limited the use of relative care.

At the District level of the Division of Social Services, there is monitoring of county level Department of Family and Children Services (DFCS) management. The DFCS houses both Social Services (WIN and non-WIN) and Benefits Payments staff.

The state is divided into 10 Service Districts and 159 counties. At the county level (DFCS), there is responsibility for approval of WIN family day care, relative care, and in-home care, monitoring of these providers, information and referral, client eligibility, determination, vendor payments, and in 3 county DFCS offices, direct provision of day care services.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76*
Total Social Services Funds (Titles IV-A/XX)	$50,187,000	$77,058,589
Total Child Care Funds (Titles IV-A/XX)	15,019,050	17,835,162
Percentage of Total Social Services Funds Allocated to Child Care	.30	.23

*From State Title XX Plan

The FY 75-76 Title XX Child Care allocation includes day care for delinquent youth (community treatment) and protective day care.

The total number of FTE involved in child day care could not be estimated by respondents.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children (Per Yr.&Mo.)	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public and Private Contracted Centers*	80	10,379/yr.	$13,000,000	$13,442,046
Private (non-contracted) Centers	75	347/mo.**	399,212	348,000
Group Day Care Homes	--	--	--	--
Relative Care and Family Day Care Homes	UNK	UNK	832,078	450,436
(WIN) In-Home Care	UNK	1,059/mo.***	820,299	425,188
TOTAL	UNK	UNK	$15,051,589	$14,665,670

* There is no non-contracted public center day care.

** This figure does not include 444 children/mo. from WIN day care. The amount of money spent on WIN day care through centers was unavailable.

*** From WIN February statistical report. All in-home care is utilized for WIN children.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	Family	State/ Local
Standardized Social Service Forms	yes	Family and Individual	State/ Local
Computerized Records	yes	Individual	State

Extent of Data: All information pertaining to client identifiers, demographic data, eligibility data, service delivery, and goal data is retrievable through the computer records, standardized forms and narrative records. Service cost data is only available through a random cost sample and expenditure reports of the state Contract Services Section.

The state discontinued its computer operations as of October 1975 for the purpose of redesigning programs in order to meet new Title XX requirements. The computer system, as it operated prior to October 1975, only handled Division of Social Services records. It will soon be programmed to cover all Title XX services providers.

During the interim there is a manual reporting system in operation. County reports are forwarded to the state MIS Unit, within Title XX Administration, and federal reports are being generated on the basis of this manual aggregation. State personnel estimated that, by October 1976, the redesigned computer system will be operational again and SSRS reports will be generated as of January 1977, based on the October-December 1976 quarter.

Data Aggregation: Data is collected on a sample basis at local DFCS offices, at present manually, and forwarded to the state MIS Unit where it is aggregated.

1-5 STATUTES

There are no statutes or ordinances, other than licensing law and regulations, which govern the operation of child day care.

1-6 IDENTIFIED PROBLEMS AND STRENGTHS

Problems: State respondents indicated that FIDCR was too stringent, especially in the child/staff ratio component. They also noted that the quality of social services could be sacrificed because of the costliness of administering Title XX; the same staff has become responsible for more areas of management, leaving less time and staff for services provision.

Strengths: The separation of the Title XX Administration Unit from the Division of Social Services has led to more effective fiscal and program operations and more ensurance that goals and objectives are being optimally carried out. In addition, the state respondents noted that they were able to develop more uniform operation procedures; monitoring and standard fiscal procedures were cited as examples.

It was expressed that cooperation between state social services workers and the DSS administration is good as is the cooperation between state and county operations.

Local respondents noted that the amount of paperwork they needed to process interferes with services provision. Also, they stated that eligibility requirements were too stringent and restricted the number of persons to whom services are provided. The last problem area noted was the lack of resources for certain services, particularly infant centers.

Local respondents cited the following strengths in Georgia's system:

1. Day care centers are cooperative and flexible in trying to meet needs and provide transportation in many communities.
2. There is quality care in both centers and homes.
3. Because communities are often small, people are cooperative in their child care efforts, which enables them to meet more needs in this area.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Department of Human Resources' state staff, District Coordinators, (Georgia has 10 districts which encompass 159 counties), District Planners and District Social Service Directors/DFCS. All had primary responsibility for setting up and conducting meetings for the needs assessment. The needs assessment study was limited due to Title XX time constraints.

Level of Effort: 94 people (25 from state office and 69 throughout the state). The needs assessment was done over a period of 4 weeks, including the training time of the District Coordinators. Exact full-time equivalents were unavailable. All, however, were state personnel.

2-2 PROCESS

The needs assessment was inclusive of all social services with no study exclusively pertaining to child care. The study did include client needs, (for all clients), and services availability.

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Utilized to some extent	Area Planning and Development Commission (APDC) was contracted to do an inventory of services available in communities.
	Limited usage	Local in-house data was also reviewed.
Agency Personnel	Utilized to some extent	State, district, and county staff held meetings to ascertain need.
Community Agencies	Limited usage	Area Planning and Development Commission, city officials, community organizations and members of task force met to study needs of community.
Service Providers	Not utilized	No specific provider survey was initiated.
Consumers	Limited usage	Public hearings with members of task force organized to study needs of the community.
General Public	Limited usage	Public hearings.

2-3 RESULTS/UTILIZATION

Specific numerical results were generated in relation to:

- Types of service needed/preferred.

The Department of Human Resources was not able to do a comprehensive needs assessment for the first Title XX Plan, due to time and staff constraints. However, they expect to do an in-depth needs assessment in the future.

Degree of Integration Into the Planning Process: Although the overall social services needs assessment impacted the final Title XX plan to some degree, there was little impact on child day care planning.

3. PLANNING & IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: Between 1972 and 1973, the Department of Human Resources was created with the intention of bringing three departments into one department. The State Board of Public Health (including mental and physical health departments), Vocational Rehabilitation, and the Department of Family and Children Services (combining Youth Services, Social Services, and Benefits Payments) were created within the DHR. The Division of Community Services (now called the Division of Social Services) had primary responsibility for on-going social services planning prior to Title XX. Program staff were responsible for planning; there were no separate planning staff. It is estimated that there were 8-10 FTE utilized in all social services planning at this time.

Title XX Planning: The Governor designated the Department of Human Resources as the single state agency responsible for coordination of the planning and the devliery of Title XX services at the local level through county Departments of Family and Children Services, and for the purchase of services through contracts with providers.

The plan was developed by DHR staff under the leadership of staff of the Division of Community Services; child care planning was undertaken by the Division of Community Services.

Staffing: The number of FTE assigned to the planning effort for Title XX could not be ascertained by state respondents.

3-2 PLANNING PROCESS

Title IV-B and WIN planning were interfaced with Title XX planning. The Chief of WIN was on the Title XX planning committee, as was one WIN staff person, and 4-5 staff members concerned with Title IV-B.

State staff commented that, due to the time constraints, there was less time available for Title XX planning than for prior social services planning (there were 5 months designated for Title XX planning). However, there was more local participation in the Title XX planning process than previously.

Local respondents expressed the view that there was not enough local input into Title XX planning; they advocated an independent planning unit for counties, expressing the view that the state cannot adequately plan for the various localities.

3-3 RESULTS

Areas For Quantification	De-Fined	Quanti-fied	Types and Numbers	Comparison
Total Number To Be Served	Yes	Yes	12,000	No Significant difference
Population Categories To Be Served	Yes	No	AFDC-WIN AFDC-Non WIN SSI IE	"
Priortiy Population Categories	Yes	No	AFDC	"
Service Provider Types	Yes	No	Center In-Home WIN	"
Special Provider Attributes	Yes	No	Portion of 24-hour Day	"
Geographic Areas	Yes	Yes	10 Districts	Same
Dollars Allocated For Child Care Service	Yes	Yes	$17,835,162	More

Planned Organizational Changes: No organizational changes were recommended as a result of planning.

3-4 UTILIZATION/IMPLEMENTATION

No major changes in program resulted from the planning process.

4. EVALUATION

There has been no comprehensive, statewide evaluation of child care conducted in Georgia.

A proposal for a major child care evaluation has been written, but it has not been approved for implementation due to lack of funding.

5. INFORMATION & REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is a toll-free, statewide "Tie-line" in Georgia that operates under an $80,000 (FY 75-76) contract with the Contract Services Unit of DSS. It can refer callers to any goverment or community agency, state or local, at no cost, for the most specific information being requested (e.g., drug abuse, alcoholism, day care facilities). It is estimated that 65% of the telephone requests for information and referral are Title XX-related. The tie-line primarily handles simple information requests, but does conduct follow-up on a sample number of cases to evaluate effectiveness.

While the tie-line can connect callers with the proper agency to impart requested information, most child day care information and referral is provided by county SAU-WIN workers, social service workers, licensing workers, benefits payments workers, and voluntary agencies. Social services workers and SAU-WIN staff were identified as the most heavily utilized sources of information and referral.

5-2 PROCESS

Assembling Information: Local county Department of Family and Children Services offices have resource files on facilities. The state Licensing Unit maintains a listing of all licensed or approved centers and periodically sends an updated list to the county DFCS offices.

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Centers	Yes-by Licensing Unit	Periodically	Yes	No	No	No
Homes	Varies by County,					
In-Home	Respondents thought not much systematization occurs in most counties					

Disseminating Information: When licensing standards were updated, licensing workers went to community meetings in all districts to explain the new standards and their impact on both provider and consumer. Although the Licensing Unit periodically sends an updated listing of licensed and approved centers to the local DFCS offices, local social services workers also know to contact the Licensing Unit for the most current listing of licensed/approved providers.

The Licensing Unit has outreach to potential providers and consumers through placement of newspaper articles, and radio and TV coverage statewide.

Assessing Client Need/Referral and Follow-up: The county social services workers have primary responsibility for assessing the need for child care, based on the child's age, family composition, child's personality and/or developmental level, hours of care, location, cost of care, and parental preference for provider type. Parents are encouraged to visit a provider before final placement is made and parent may reject a placement of not satisfied. In the majority of cases, the client comes into contact with 1-3 workers during the assessment process--social services worker, benefits payments (income maintenance) worker, SAU-WIN worker, and/or protective services worker. The initial assessment process is estimated to take from 10-60 minutes.

There is no systematic follow-up to ensure that the client has secured service, unless the assessment worker feels the client is dependent on intervention to secure services. This is due to the heavy caseload of the social services workers.

5-3 RESULTS

Time period: 3 Months	State (Tie Line)
Number of clients seeking child care referral	1,614
Number of clients actively assisted	Unk.
Number of clients securing their own services	Unk.
Number of clients unable to secure services	Unk.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Responsibility for establishment of eligibility regulations and the development of standardized application forms is the responsibility of the Department of Human Resources.

Actual eligibility determination is made by county level social services worker (sometimes called "case manager" in state); a briefed provider may also determine eligibility but it must ultimately be approved by the social services worker.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC non-WIN
- SSI
- Income eligibles, defined as:
  a family of 4 with a gross annual income of no more than 61% of the state's median income ($7,800 annually), adjusted for family size. There is no sliding fee scale, and all families with incomes greater than 61% of state's median must bear the full cost for service in private sector.

Revisions Since the Passage of Title XX: At the time the Georgia visit was conducted, revisions were in the process of being made to bring Georgia in line with Title XX regulations.

Materials to Ensure Uniform Interpretations: The Title XX eligibility manual has been used as a guide to ensure uniform interpretation.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms, developed by the Department of Human Resources are used throughout the state.

Applications for day care are secured at the county level by social service workers (case managers) at the DFCS, for both WIN and non-WIN day care. For non-contracted WIN day care, the WIN worker (or social services worker with WIN responsibilities) is the only person who secures applications. For contracted day care, a provider briefed by the Contract Services section may also secure applications.

The total number of social services applications and the total number of child care applications received was unavailable.

Eligibility Determination and Verification: Eligibility is determined by the county DFCS social services, (WIN) worker and by a contracted provider trained by the Contract Services section in determining client eligibility. The Contract Services section is ultimately responsible for approving the application initially assessed by the provider.

Clients must produce verification of status - medicaid card, pay stubs or other documentation.

Determination can take from 2-4 weeks. However, it can be ascertained immediately if documentation of AFDC recipient status (e.g., medicaid card) is produced. The state computer system prints out monthly AFDC recipient lists which are forwarded to county offices.

An estimate of the number of clients found eligible was unavailable since the information is compiled on amount of money spent rather than the number of children served. The total number found ineligible was unknown.

Quality Control: No standardized quality control procedures have been established. Clients are responsible for reporting any changes in earnings or status that might have impact on eligibility status. No follow-up was conducted due to staff caseload constraints.

Redetermination of Eligibility: Every 6 months eligibility is redetermined using the same format as in the initial interview. When clients are found to be ineligible they are informed of their appeal rights, and services are terminated.

Appeals: The number of child day care appeals registered thus far in 1976 is 86. All clients appealing are receiving services while their appeal is pending. None of these cases have been heard as yet.

6-4 PARENT FEES

None.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Division of Social Services within the Department of Human Resources is responsible for the development and enforcement of all day care licensing standards for private centers and for approval standards for public centers, family day care, in-home, and relative out-of-home care.

There is a Licensing Unit within the DSS. The licensing workers are housed throughout the state in the District Offices of the DHR. They are responsible for the licensure of private centers and the approval of public centers (based on the same licensing standards). They are supervised by licensing supervisors who are directly responsible to the chief of Licensing Unit at the state level.

Staffing: There are 33 1/2 full-time licensing workers and 3 1/2 full -time licensing supervisors statewide. They spend 25-60% of their time licensing private day care centers, approving public day care centers, and the remainder of their time is devoted to consultation, monitoring, dissemination of information on state requirements, and coordination with staff of the fire and health departments.

Licensing workers can recommend license denials and revocations to the Chief of the Licensing Unit, with final authority vested in the Director of the DSS. A notice of fair hearing rights is sent from the Director's Office in such cases and the appeal is forwarded to the Office of Special Administrative Services, a separate support services department in the state.

Both licensing workers and their supervisors are required to have a B.A. degree plus one year experience in family day care, home economics, early childhood development, or elementary education. Some licensing workers have an M.A. in early childhood education or an M.S.W. They have often had experience as social services workers at the county level.

7-2 STANDARDS

Standards Development Process: Standards for day care centers were updated in February 1974, by the DHR, Licensing Unit. Statewide public hearings were utilized in formulating, establishing and revising these minimum standards.

Main participants in this process were from the DHR and from an advisory committee on day care composed of consumers, providers, representatives of various community organizations and county health, education, and fire departments. In addition, input was sought from licensing workers.

Public centers need not be licensed by law, but are actually approved on the basis of the 1974 center licensing standards used for private center licensure.

In February 1975, relative home care standards were approved and became effective in June 1975. They were developed specifically for use in WIN cases to open up resources for WIN. Prior to this, relative care fell in the family day care home category and the standards were too rigid to allow much use. Relative care standards are more stringent than in-home standards, but less stringent than FDC standards.

Family day care home standards were last updated in 1969, as were in-home care standards. In home care is used exclusively by WIN, as is relative care, and the majority of family day care is also utilized by WIN recipients.

Content of Standards:

Staff-Child

Centers:	Ages:	Ratios:
	Birth-18 mos.	1:5-7 with someone on call
	19-36 mos.	1:8-10 " " " "
	3-4 yrs.	1:10-15
	4-5 yrs.	1:15-18
	5-6 yrs.	1:18-20
	over 6 yrs.	1:20-25
Group Day Care Homes:	None in state.	
Family Day Care Homes:	1:6 Where fewer than three children are under 2 1/2 years of age. When there are three children under 2 1/2 years of age in the family day care homes, plus older children, there shall be a helping person in addition to the day care parent available in the home.	

Additional Components of Standards:

1.) Components included in center standards:
Administration, staff qualifications, staff training (all day care center staff required to complete some training within the last 3 years), child:staff ratios, records, educational services, nutrition and food service, health, safety, equipment, physical plant, fire safety, transportation and parent involvement.

2.) Components included in FDCH standards:
Maximum number of children is 6, including family's own children and relatives, records, staff qualification and staff training (recent training required unless no training is locally available), health and safety, nutrition and food service,

educational services, equipment, physical plan, and child:staff ratio.

3.) Components included for in-home care standards:
Age of caretaker (between 21 and 65 usually), medical report, capacity and time of caretaker, hours of care, maximum number of children (six, including attendent's own children and relatives), food service and nutrition, health care of children.

4.) Components included for relative out of home care standards:
Definition of relative (grandparents, siblings, cousins, nieces, nephews, aunts, uncles), qualifications (must be 18, have TB test, be competent), physical plant, health, admission of children (1 provider for every 6 children, not more than 2 of the 6 may be under 3 years, children under 14 living in the home and present during hours care is provided are included in ratios), educational services, equipment and records.

Comparison of Standards with FIDCR:

There are no state standards which exceed FIDCR. State respondents indicated that the only area of the state standards not meeting FIDCR is that of staff/child ratio.

There is no additional FIDCR certification process in the state. All contracted day care centers must meet FIDCR and these requirements are written into contracts and monitored by the Contract Services Monitoring sub-unit.

The proportion of providers willing to comply with FIDCR is unknown. The majority of providers do feel FIDCR staff:child ratios are too stringent.

Respondents expressed the belief that their staff:child ratios, based on the 1972 draft FIDCR, were adequate and that FIDCR should be supplemental to state standards. They indicated that the current FIDCR staff:child ratios contribute to:

- Overstaffing (which leads to overstimulation and boredom)
- Too much dependency of child on staff (not enough time for child to be alone)
- Not enough work for a large staff.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	# Sanctioned	% Disq.	Planned	Actual
Public Centers	Approval	1492	1492	UNK	Annual	Annual
Private Centers	License			1	Annual	Annual
Group Day Care Homes	NONE					
Family Day Care Homes	Approval for homes serving FFP children	UNK		UNK	Annual	Annual
Relative DCH's		UNK		UNK	Annual	Annual
In-Home		UNK		UNK	Annual	Annual

Local social services workers must conduct an approval study of a home in order to place a child there. It is based on the standards for that category of home. If approved, a letter of approval is sent to the home.

Fees for Licenses: None. (No fees for approval either.)

Content of License: The license or approval certificate for day care centers includes:

- Date of issuance
- Period valid and/or expiration date
- Maximum number of children
- Category or license and limitations
- Name of facility and/or provider
- Type of facility
- Ages of children

Approval for family day care, relative care and in-home care does not require a certificate. A letter is sent from the county DFCS office with:

- Name of provider
- Address of home
- Number of children served
- Time period valid

7-4 LICENSING PROCESS

Areas of Investigation: Licensing/approval studies of a private/public center include:

- Physical characteristics of the facility
- Staff characteristics
- Education, nutrition and health components
- Specific verification that children have had medical clearances

The extent of parent involvement is, according to state level staff, included in the licensing study. However, one of the local sites visited indicated that this was not the case. Thus, it appears that this component's importance varies by locality.

FDCHs must be approved by the local social services worker at the county Department of Family and Children Services before FFP children can be placed there. This approval study includes all the components addressed in the standards.

Extent and Nature of Process: All known providers of center day care must be licensed (private) or approved (public). A structured format, developed by the Licensing Unit of the Division of Social Services, is used to conduct studies of centers.

All providers of in-home, relative home, and family day care must be approved if they wish to serve FFP children. Written minimum standards have been established by the DHR for this purpose. A social services worker from the county DFCS, or a WIN caseworker (or child care specialist in the one project area with such staff) utilizes these standards in conducting approval studies. This study is estimated to take one visit. The social services worker's study is approved by the County Director of the Department of Family and Children Services. The time lapse between application and receipt of a letter of approval is unknown at the state level since there's much variance locally.

Providers are made aware of licensure and approval requirements through community word-of-mouth, the efforts of licensing or social services staff in educating communities, and through newspaper articles that frequently appear.

At the state level it was indicated that licensing/approval studies for centers usually require 2-3 visits for completion; in addition, local fire, health and food service inspections must be made. Sometimes field services representatives from program divisions (in this case it's the Division of Social Services program division) also conduct a visit as part of their responsibility for supervision of all local social services delivery by the county level DFCS. Both the state and local level indicated that the approximate time lapse between the initial study and the actual receipt of a license or certificate of approval is 1-2 weeks. Difficulty is meeting physical plant requirements was cited as the greatest impediment to licensure (or approval) in centers. Follow-up consists of quarterly visits by the licensing worker that are scheduled and surprise site visits whenever necessary.

Conditional Licenses: 3 month conditional licenses (or approvals) are issued to centers and usually extended to cover a 6 month period. They can, by law, be extended to a maximum of two years. Initially, a 90 day permit (conditional license or approval) allows facilities to begin service after minimum health and safety standards are met and beginning staff and program plans are organized. The permit usually notes specific upgrading functions to be performed within that time period. After 90 days the facility is re-evaluated; if conditions are still unmet, an extension of the permit is often given. This extended permit enumerates all areas needing compliance, along with a projected date for achieving this compliance. If conditions are still not fulfilled at the end of this extension, a fair hearing officer from the Office of Special Administrative Services (within the DHR Commissioner's office) is notified. This office makes the final decision.

Approximately 10% of all licenses and approvals are conditional at present. Local respondents indicated that the most difficult areas for provider compliance are staff:child ratios, staff training, and outdoor play equipment requirements.

The licensing worker assists the provider throughout the licensure process.

Revocations: If the licensing worker deems a facility to have revocation potential, a 90 day notice of intention to revoke is issued by the Licensing Unit, with the right to a fair hearing noted.

The number of revocations in the past year statewide was unavailable. One center closed voluntarily last year when served with a letter of intention to revoke.

State respondents noted that consistent interpretation of licensing regulations statewide is difficult. It is the task of the 4 licensing supervisors to train their licensing workers in making uniform interpretations.

Local respondents stated that their approval procedure is flexible and gives homes ample time to meet the various requirements. It was noted, however, that enforcement is difficult and that, when necessary, legal assistance through the District Attorney's office is hard to obtain and a very slow process.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

At the state level licensing workers conduct quarterly monitoring visits of all day care centers. (One of these visits is the annual re-licensure, or approval, study). They are responsible for monitoring for license regulation compliance.

In addition, the Contract Services Unit has a Monitoring Section of 11 monitors, whose responsibility it is to monitor for contract compliance. There are 80 day care contracts presently in the state, and, of these, 10 contracts are with systems (e.g., public school systems); most of these systems are public. Some of these systems have a social worker and fiscal management staff, aside from administrative staff, and they perform monitoring and T & TA functions in their member facilities. However, state staff monitor for license and contract compliance also. It was estimated that 60% of the Monitoring Section's effort is expended on monitoring day care contracts.

The county Department of Family and Children Services' social services workers and WIN caseworkers monitor family day care, relative care, and in-home care providers. Although they try to monitor these homes quarterly, and often do, it was indicated that this varies widely by county.

The 3 WIN child care specialists, located in the county DFCS offices of one WIN project area (with an 8-county jurisdiction), are engaged in monitoring of family day care, relative care and in-home care providers. This is undertaken in addition to the monitoring efforts of local staff, and emphasizes standards compliance.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	DSS licensing workers	100%	100%	100%	Quarterly	1-3 hrs.
Private Centers	DSS licensing workers	100%	100%	100%	Quarterly	1-3 hrs.
Group Day Care Homes	--	--	--	--	--	--
Family Day Care Homes	WIN caseworkers and county DFCS social services workers	*	100%		Quarterly	1 to 1 1/2 hrs
(Relative Home) and In-Home	WIN caseworkers	*	100%		Quarterly	1 t[illegible] 1 1[illegible] hrs

* Approval studies are only conducted when home is necessary for serving FFP children.

8-3 PROCESS

Licensing workers monitor public and private day care centers quarterly for compliance with state standards. Surprise visits are the dominant strategy utilized, and telephone calls and letters are often used, in addition.

Social services workers and WIN caseworkers monitor homes approved to serve FFP eligibles, and also rely primarily on unscheduled visits for their quarterly efforts.

Although there is no formal checklist, monitoring efforts follow established guidelines in accordance with standards.

8-4 RESULTS

State respondents estimated that approximately 10% of centers are out of compliance at any one time. The Licensing Unit has developed an evaluation instrument and expects to be able to accurately measure compliance by next year.

It is unknown how many homes are out of compliance in the state.

9. TRAINING & TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: There is no specified unit of the state agency delegated the responsibility for T & TA. The Licensing Unit of the Division of Social Services is responsible for providing T & TA to district licensing staff and to providers of day care center care through district licensing workers.

There are 33 1/2 full time licensing workers and 3 1/2 full time licensing supervisors within the state Licensing Unit who spend 40-75% of their time carrying out responsibilities other than for licensure and approval; this includes T & TA functions. No estimate could be given the number of social services and WIN staff allocated to provider T & TA functions in the state.

There is also a WIN contract with the Regional Institute of Social Welfare Research (U. of Georgia) to provide workshops, labs, and seminars in areas of child development and family day care supervision to WIN staff. Outside consultants are utilized in some of these seminars, as per the contract arrangement. The Regional Institute also develops and secures pertinent printed materials which are disseminated to WIN Work Training Representatives, WIN Caseworkers, and the three WIN Child Care Specialists. In FY 74-75, $70,000 was allocated from the WIN budget for this contract; in FY 75-76, this contract allotment was $100,000. It was estimated that there are 2 1/2 WIN FTE's allocated for child care T & TA via this contract with the Regional Institute.

Within the Contract Services section of the Title XX Administration Unit, there is a training sub-unit with 5 Trainers. They are responsible for T & TA to the 25 Contract Services Representatives who provide program TA to contracted providers and responsible for T & TA directly to contracted providers in areas of client eligibility determination. In the Fiscal sub-unit of Contract Services, TA is given to providers in areas of fiscal concern and billing procedures. The 5 financial analysts in this sub-unit spend 75% of their time in areas of day care management; however, the amount of time expended in TA provision could not be estimated. The entire Contract Services section is estimated to have 14 FTE in areas pertaining to day care contracts.

Local: District level social services staff are responsible for providing T & TA to county level social services staff. WIN Work Training Representatives (WTOs) housed in the districts, and the 3 WIN Child Care Specialists who can travel statewide, are responsible for T & TA to county level WIN caseworkers in the DFCS (24 WIN FTE allocated for this local staff development function).

Family day care, relative care, and in-home providers receive T & TA from county level social services workers and WIN caseworkers and, in the 8-county WIN project area, from 3 Child Care Specialists (who give T & TA to approximately 60 family day care homes in their area).

Staff Background: Persons providing T & TA from the state level and from the Regional Institute of Social Welfare Research must have an M.A. or Ph.D. in social work or early childhood development.

9-2 ACTIVITIES

Staff Development

TO WHOM	BY WHOM	DESCRIPTION	AMOUNT
Licensing Workers and Licensing Supervisors	Chief, Licensing Unit	Meetings covering program areas, child development, regulations.	2 times per year
Licensing Staff	Georgia Assn. for Young Children	Workshop in all program areas, child development, equipment.	1 time per year
Licensing Staff	Outside consultants	Infant care, child development, child psychology seminars	quarterly
County DFCS Staff	DSS District Staff	Meetings to train local staff on T & TA for providers	as needed
Contract Services Representatives	Contract Services Trainers	Title XX requirements for eligibility, program areas in day care (seminar)	1 week per year
WIN state and local staff	Regional Institute of Social Welfare Research	Child development, family day care provision workshops, dissemination of printed materials and quarterly newsletter	Unknown

Provider Training and Assistance

TO WHOM	BY WHOM	DESCRIPTION	AMOUNT
Center providers	Licensing Unit	Workshops on program and administration areas and films	12-15 hrs.per year
Center providers and FDC	Community Colleges	All center and FDC providers must take some training courses approved by Licensing Unit, in areas of child care, art, nutrition, etc.	30-60 hours
Center Providers	Licensing Unit	Newsletter* on all areas in child care	Quarterly
60 FDC Providers	Child Care Specialists	All areas of FDC (Individual consultation and small group meetings)	as needed
Contracted Providers	Contract Services Trainers and Representatives and fiscal staff	Programs, administration and fiscal T & TA in workshops	2 days per year
FDC, in-home and relative home providers	County DFCS social services workers and WIN staff	Child development and psychology, nutrition, record keeping	8 hours per month

* Licensing Unit allocated $7,000 in FY 74-75 for quarterly newsletter distributed to center providers.

9-3 PROCESS

Methods used to identify need for training and technical assistance include:

- When changes in policies and procedures occur,
- Recurring questions received in the field
- Through licensure/approval or relicensure studies.

No group was identified as needing more T & TA than any other group. Dominant delivery methods for T & TA are: workshops, community college courses, seminars, and individual consultations.

9-4 RESULTS

State respondents noted that budget limitations (and staff constraints)weakened T & TA effectives. However, they stated that the quality of their T & TA effort is good and improvements are apparent in aspects of both staff and provider day care operations.

9-5 PRINTED MATERIALS

The DSS Licensing Unit publishes a day care booklet for both staff and providers. It contains program ideas, nutritional information, and an assortment of tips for day care providers. It also contains a bibliography of books of interest. A paperback book on child development is also distributed by the DSS for provider use in evaluating child's developmental skills. In addition, the DSS publishes a Family Day Care Newsletter and distributes pamphlets on nutrition.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Fiscal management responsibilities are shared by several units. The Division of Social Services (DSS) Field Services Section is responsible for overseeing the county DFCS vendor payments to providers. County DFCS staff negotiate agreements with individual providers, for both WIN and non-WIN day care, and the DSS Field Services section must authorize the arrangement. County DFCS offices then pay providers monthly and are reimbursed by the state DHR, Division of Administration.

The Title XX Administration, Contract Services Section, has responsibility for fiscal management of contracted providers. The Fiscal Review sub-unit of Contract Services is responsible for yearly budget proposal reviews of contracted providers. They check provider monthly expense reports, reporting procedures, and provide fiscal technical assistance to providers when necessary.

10-2 FISCAL MATERIALS

All fiscal materials are complete, regularly used, and were rated good by state staff.

10-3 INCOME SOURCES

SOURCE	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	$15,019,050	$17,058,589
WIN	1,039,950	972,000
CWS	1,277,132	1,188,546
Unmatched State Funds	-0-	-0-
Other: ARC grant used exclusively for day care contract in Appalachia	-0-	1,403,934
TOTAL	$17,336,132	$20,623,069

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Purchase of Service Contracted Facilities	$13,000,000	$ 1,403,934* 10,568,165
Vendor-paid Facilities	1,554,712	1,428,000
Direct Provision/Operation	112,373	112,373
Client Purchase with Social Service Reimbursement	-0-	-0-
TOTAL	$14,667,085	$13,512,472

* ARC grant for day care contract in Appalachia.

Description of Funding Methods/Processes:

A. Purchase of Service: All contracts are with public and private day care centers, with the exception of one contract with a center which has 3 family day care homes as member providers. The Contract Services Section has 25 Contract Services Representatives. who negotiate all contracts, including those for day care, follow up on the suggestions of the 11 Monitors of Contracts within the unit, and provide training and technical assistance to contracted providers in areas of program concern. Of these 25 representatives, 14 FTE were estimated to be concerned with areas of day care contracting.

The Fiscal Section of Contract Services has 5 financial analysts, who review budget proposals, review provider monthly expense reports, and provide technical assistance in fiscal matters. This section also has one senior accountant who supervises the financial analysts, an accountant for record-keeping and a position for Chief of Fiscal Section which is currently vacant.

There is also a Monitoring Section with 11 Monitors who are responsible for all contract monitoring, and a Training Section with 5 Trainers who develop techniques for training contract representatives and providers in client eligibility determinations and Title XX eligibility requirements in general, and the developments of in-service delivery skills.

There are 5 teams, geographically organized, and including contract representatives, 1 fiscal officer, and 1 supervisor, who are responsible for overall contract management in their area. Metro Atlanta has two teams, one exclusively concerned with day care management, and the other concerned with all social services contracts. The three remaining teams are responsible for all social services contracts.

There is no large scale subcontracting done in the state. Contracts are written for both public and private centers and one center contract includes three family day care home providers.

The Monitoring Section has only been in existence 1 1/2 years. All contracts have been monitored 2-3 times thus far and it is planned to be conducted quarterly. These 11 Monitors are responsible for quality control procedures.

Contract Services also has one consultant for planning, research, and evaluation, and one policy and procedures representative. These two staff develop contract policy and it is estimated that they spend 50-60% of their time in child day care policy development. They are also responsible for collecting information for federal reporting purposes and for acting as liaisons between Contract Services and the Management Information Unit within the Title XX Administration.

Since most day care, and almost all non-WIN day care, is provided through contractual arrangement, the Contract Services Section is very important to state day care management.

B. Direct Provision: Three counties operate day care centers directly in the state.

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child/week and per child/month; full time = 6 hours or more/day; expanded care = 4-6 hours/day; extended care = 2-4 hours/day (before and after school care).

Provider Type	Rates		
	Basis	Average	Range
Public Centers	Actual Costs in Community	$125 Child/ Month	$100-150 Child/Month
Private Centers	" "	" "	" "
Family Day Care Homes	Unknown	Flat Fee $65/Mo. - 1 Child, $44/Mo. each additional child	
Group Day Care Homes	---	---	---
In-Home	Unknown	Same as FDCH	

Maximum Rate, If Specified:

$1,800 child/year - full time
($150 child/month - maximum, very few)

$1,200 child/year - expanded care

$ 800 child/year - extended care
($166.67 maximum per month for infant care)

10-6 IN-HOME CARE

In-home and relative home care is utilized exclusively by WIN. Standards are in existence for both categories of care and govern its use.

10-7 INCOME ELIGIBLES AND PARENT FEES

There are no fees for families above the income eligibility level of 61% of the state's median income. All families whose gross annual income exceeds 61% of the state's median must bear the full cost of day care services in the private sector.

10-8 DONATIONS

None.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Social Services and Housing (DSSH) is the designated state Social Services agency.

This Department is comprised of 3 program divisions and 5 centralized service offices. In addition, the department has administrative responsibility for 3 non-Social Services departments.

Responsibility for program planning and administration, including child care, is vested in the Public Welfare Division, Social Services Program Development Office, Family and Children Services. Data for the department is accumulated by the Research and Statistics Office and the Administrative Services Office. Training material is developed in the Personnel Office.

Fiscal management is a centralized service within the Administrative Services Office. It is administered separately from the Public Welfare Division.

The fiscal unit within the Administrative Service Office makes payment for all day care and does have consultation with the Public Welfare Division on budget requests and staff position funding.

The former "Central Administrative Unit," which had been responsible for the separate administration and payment of Purchase of Service Contracts in the Public Welfare Division is now being integrated as a service branch within the Social Services Program Development Section.

Statewide, there are 4 branch offices which are administered by the Public Welfare Division. Each branch has a separate staff for Income Maintenance and a staff for Social Services. Licensing and determination of client eligibility are the responsibilities of the 4 local branch offices.

Determination of Eligibility for services is handled by social service eligibility workers at Social Services intake units of these branch offices.

Hawaii's site visit was conducted in January, 1976. Interviews were conducted with 15 state officials and 10 local officials in Honolulu County, Island of Oahu.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Allocation of Funds	
	FY 74-75	FY 75-76*
Total Social Services Allocation	$11,936,407	$13,558,326
Total Child Care Allocation	2,884,438	4,000,000
Percentage of Total Social Services Funds Allocated to Child Care	24%	29.5%

*Taken from state Title XX Plan; computed for 12-month period.

The 75-76 child care allocation is inclusive of normal day care and counseling.

The proportion of total social service staff time allocated to child care was not available.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Providers	Number FFP children	Expenditures	
			FY 74-75	FY 75-76
Public Centers	216	11,703	--	--
Private Centers			unk.	unk.
Group Day Care Homes	--	---	--	--
Family Day Care Homes	175	800	unk.	unk.
In-home Care	N/A	746	unk.	unk.
Out of Home Care by Relatives	N/A	419	unk.	unk.
TOTAL	391	13,668	$2,884,438	$3,461,458

The figures on number of providers and number of federally funded children were given by the Day Care Program Administrator in the Public Welfare Division.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	Family	local
Standardized social service forms	yes	Family	local
Computerized records	no		

Extent of Data: A target date of January-March 1977 has been set for full computerization of the Social Services Reporting System (SSRS) forms currently in use. This will make all accumulated information highly accessible.

Presently identifiers, service cost data, demographic data and goal data is fairly accessible. The computerized record when available will not include "handicapping conditions" in the collected demographic data.

Eligibility data is complete except for the absence of information on educational and/or training level, and information on income maintenance. The information the state does have is highly accessible. The computerized record will include all eligibility data except Eligibility Status and Date of Eligibility Determination.

Service delivery data is complete, except for the nature of services provided, and fairly accessible. The computerized records will include only the type of care and method of service provision.

Data Aggregation: Currently the state's "Monthly Child Care Arrangements" list the number of children and number of caretakers by 16 categories of care, 8 in full-time, 8 in part-time. This data is compiled at the Branch offices for the State Research and Statistics Unit, and used for federal quarterly reporting purposes. It is not aggregated for the year.

As of January, 1976, a federal reporting form on child care and state reporting form on services and goals by type of delivery will go into effect. It will be filled out by Branch offices and sent to the state level for reporting purposes.

Apparently, these forms are the first in a series which are based on the Oklahoma SSRS system of data collection, modified to suit Hawaii's needs.

1-5 STATUTES

Revised Laws of Hawaii 1955, Chapter 108, as amended in 1965. This Act provides for the licensing and regulating of day care facilities. It defines a day care center as a place where group care is provided for 6 or more children and a family day care home as a place providing day care for 2-5 children. Group day care homes are included in the day care center category in the state.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Problems - The state Day Care Administrator expressed great frustration at the lack of staff allocated for day care. The Purchase of Service (POS) Unit also noted that staffing constraints led to less vigorous monitoring efforts than desired.

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The Day Care program staff mentioned that they have control over their budget through the PPBS system but the accounting for funds is handled in the fiscal unit.

Strengths - State personnel were pleased with community and agency interaction, stating that community acceptance of regulations and recognition of the need for licensure enabled the state staff to function more effectively.

It was also noted that the recent inclusion of the POS Unit into the Program Development Office of the Public Welfare Division would improve the day care services administration, as would the recent increased funding from the State Legislature.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Public Welfare Division was unable to conduct a comprehensive needs assessment in the development of its initial Title XX Plan because of the lack of staff and funds as well as lack of time.

Instead, extensive use was made of census data (1972), and needs assessment data collected by the Social Services Administrator from social services offices in 1974.

2-2 PROCESS

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensive Use	Census data, 1972; Case by case indicators of goal effectiveness were used to determine whether the service helps the individual client.
Service Providers	Moderate Use	Consultant for Governor's Committee for Child Care Planning Project interviewed 200 persons interested in day care provision.
Agency Personnel	none	
Consumers and Gen'l Public	none	

2-3 RESULTS/UTILIZATION

The state evaluated its in-house and census data and ascertained a risk population of 75,000 children, aged 3-5 years. Its target population was considered to be 4,000 children, slightly less than 5% of the at-risk group. There are currently 3,000 children receiving day care services, and the gap of 1,000 children not served in the target population is seen as an indicator of amount of increased day care services needed.

The service objectives and percent enrollment, January 1976:

Service Objective	Present Percent, Day Care Enrollment
So that parents may work	80%
Protective Services	15%
Developmental aid to child	5%
TOTAL	100%

Degree of integration into planning process: A separate planning section did not exist prior to Title XX. The Social Services Administrator, who was responsible for the initial needs assessment effort, expects to devote full time to planning for the period necessary to complete the next Title XX Plan.

A clearinghouse for all related research specific to needs assessment in the State and coordination linkage with other human service agencies has been established. The Social Services Administrator completed the planning/evaluation for the CASP.

In addition to the planning data made available to human service agencies, census data, Public Welfare Division income maintenance and social services data, and expenditure-expense data will also be utilized in needs assessment and analyses.

The state hopes to utilize data for needs assessment from planned consumer surveys (members of the risk population randomly sampled), mailout questionnaires, and structured questionnaires administered by social service staff and professional interviewers.

The Public Welfare Division also has a contract with the University of Hawaii School of Social Work to conduct a survey on service needs of marginal but non-welfare clients. This will yield additional data for the state.

Unmet Needs: The State is cognizant of the fact that 1,000 children from the projected target population are not receiving day care services but recognizes that this figure is probably much too conservative. The need is estimated to be far greater by the state, but there are currently no instruments available to gauge the magnitude of this need.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: Since the state budget is considered biennially, on odd-numbered years, all social service planning must be set into motion to impact on the Budget Sessions. This means that the State Social Service Plan and costs must be estimated well in advance of the actual Federal and State appropriations and allocations.

There is no separate child care planning; child care planning is incorporated into the Department of Social Services and Housing (DSSH) social services plan, as developed by the Program Development Office of the Public Welfare Division. The Program Development Office will receive input from the community as well as from other state and local planning organizations through an Advisory Committee appointed by the Public Welfare Administrator.

Title XX Planning: The Health and Community Services Council of Hawaii wrote the first Title XX Plan under contract from DSSH. It received input from the Title XX Task Force, a group of social services staff chaired by the Administrator of the Social Service Program Development Office. This Task Force spent one month on social services issues. The second draft was written by the Social Services Administrator's staff over a two-week period.

Included in the third draft were program expenditures for the 21-month budget, planning and evaluation information, interface with Title IV-B and WIN funds, and the public review process. This public review included community meetings to discuss Title XX and feedback from this and additional public comment.

3-2 PLANNING PROCESS

Community and Title XX Task Force Staff believe the Title XX planning process occurred in a rushed atmosphere due to a late start, lack of early federal guidelines, and the volume of information needed. In addition, the social services budget was set before Title XX planning began. As a result, Title XX is based on previous levels of service and existing programs, and income eligibility levels were not changed.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total number to be served	yes	yes	4,853	unk.
Population Categories to be served	yes	no	AFDC-WIN, AFDC non-WIN, income eligibles	same
Priority Population groups	no	no	---	--
Service Provider Types	no	no	---	--
Special Provider attributes	no	no	---	--
Geographic Areas	yes	yes	4 island service areas	same
Dollars Allocated for service	yes	yes	$3,461,458	more

Planned Organizational Changes: A state level Advisory Committee was reactivated in 1975, composed of representatives from state agencies, consumers and private agencies; and staffed by the Public Welfare Division Program Administrator for Day Care with the primary task of revising current rules and regulations written in 1966.

No major organizational changes are planned.

UTILIZATION/IMPLEMENTATION

Responsibility for implementing changes rests with the Social Services Administrator and social services program staff. The Administrator is attempting to establish a planning unit but it is not as yet formed.

There have not been any major organizational changes to date as a result of the planning process; the next Title XX planning effort should reflect proposed changes in delegated responsibility.

4. EVALUATION

No child care evaluations have been conducted in the state.

However, the Purchase of Service Unit of the Public Welfare Division, which has the responsibility for evaluation of providers, devised a monitoring instrument to collect data at P.O.S. centers (1975). From this was developed a list of information criteria which the POS unit believes to be useful in evaluation:

a. number and percent of children receiving day care of total requests for care;

b. average time between request and day care delivery;

c. number and percent of program and facility deficiencies corrected, compared to number of deficiencies, in a prescribed time;

d. program impact upon child development;

e. adequacy of programs compared to federal requirements.

The results of the POS Unit's contracted center evaluation are not available yet.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There are direct and purchased information and referral services available. Local social workers and SAU-WIN workers provide direct information and referral. There are also 5 agencies under contract to the state to provide information and referral services; these are inclusive of all social services. There is no information and referral specific to child care.

5-2 PROCESS

Assembling Information

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	yearly	yes	yes	yes	no
Homes	none	--	--	--	--	--
In-home	none	--	--	--	--	--

Supplements to the Directory are added "as needed" during the year. Systematized information on day care homes is not published, but Branch Social Workers do keep informal lists of facilities to help their clients.

Disseminating Information: Public libraries receive copies and supplements to the Directory of Licensed Day Care Centers to make available to the public. Otherwise, there are no special liaisons with other agencies to disseminate information on child care services.

No organized outreach programs other than the Headstart programs exist. The State Day Care Administrator would like to have a day care referral service available at the branch level.

Assessing Client Need/Referral and Follow-up: The Branch social workers have primary responsibility for assessing child care needs, based on the child's age and developmental level, location of facilities and hours, and provider requirements. Non-contracted providers often prefer not to accept children with behavior problems, whereas contracted centers can accept the problem child due to high staff-child ratios and concomitant higher cost per child care hour.

Parents often telephone or visit the social worker to request the Centers Directory or a list of homes, and then contact the provider themselves. No follow-up occurs in this case. If the social worker contacts the provider directly, a follow-up call or visit is made to check whether the child is adjusting to the care situation. Social workers visit day care facilities on an "as needed" basis for on-going clients.

5-3 RESULTS

Time period: One month period on island of Oahu.*

Number clients seeking social services referral	250
Number clients seeking child care referral	65-75
Number actively assisted	75%
Number securing their own services	5
Number unable to secure services	unknown

*Oahu represents 80% of Hawaii's population.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The determination of client eligibility for services rests with the Public Welfare Division, DSSH. Social Service intake workers at the branch offices of the Public Welfare Division are delegated the responsibility and authority to determine the eligibility for individual clients and to provide the appropriate services to clients deemed eligible.

Service plans are developed for all eligible clients and are carried out by all providers of service.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN (training, job-related)
- AFDC-non-WIN
- Income eligibles: Defined as any family whose annual gross income does not exceed 60% of the state's median income ($9,413 for a family of 4), adjusted for family size.

Revisions Since the Passage of Title XX: The major change is in the eligibility requirements for social services which deletes the Former and Potential status and categorical linkage. The two major conditions for eligibility now are Income Maintenance Status and Income Eligible Status.

Materials to Ensure Uniform Interpretations: The Social Services Manual has been revised as noted above and distributed to front-line workers to assist them in determinations of client eligibility.

6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the state Public Welfare Division and covering income information and verification, are in use throughout the state.

Applications are secured by the branch level social worker. Prior to the end of January, 1976, contracted day care providers could also offer the forms to day care applicants. Now they must be issued at the Branch Office. Applications are often mailed upon request, with a covering letter and the telephone number of the nearest branch office for the applicant who needs instruction in filling out the forms.

The total number of applications for day care services received is unknown at the state level, but the Oahu branch intake supervisor estimated that each month between 25% to 30% of all applications are for child day care.

Eligibility Determination and Verification: If the client is receiving public assistance, the fact is verified by checking central files or the medicaid card. If the client is employed, paycheck stubs for the last 2 months are required to establish that the client meets the 60% or less median income requirement. Clients who are deemed eligible are furnished services as soon as the need is established. For example, AFDC and General Assistance recipients who become employed may receive child day care upon request, but recipients who seek day care for their children's developmental problems are scheduled for an interview with a second social worker who makes the final determination.

The time lapse between application and completion of the eligibility determination process averages 2 weeks. Child day care service begins only after the client is determined eligible; this may take another 2 weeks. However, the Branch Office often reduces the service delivery gap by sending the client necessary forms and having a licensed day care facility contact the parent before formal eligibility has been established. The Oahu Branch Intake Unit estimates that each worker processes 2.3 applications per day.

When the need is for developmental needs of child, 80-86% of applicants are found eligible. A higher percentage of clients who apply due to employment needs are found eligible. Families needing day care for protective services needs, and not financially eligible for Title XX, have care through Title IV-B funds.

Quality Control: All clients are responsible for reporting any changes in status or earnings. No information is available on continuous verification of income eligibles. Income maintenance workers usually notify service workers when clients are no longer receiving public assistance, but sometimes notification is not given and the state may pay for day care after the client is disqualified for aid, until social services review is completed.

Re-Determination of Eligibility: Eligibility is reviewed every 6 months, and clients who have become ineligible are identified at this time. Redeterminations take 3½ hours on the average, including home visits, telephone contacts, and completion of forms.

Appeals: Whenever clients are found ineligible they are informed of their right to appeal. There are few appeals per year; two have been registered in the last year by parents who were attending school and believed their children should receive day care paid by the state.

6-4 PARENT FEES

No sliding fee scale exists for child care.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The State Day Care Administrator in consultation with the Advisory Committee on Day Care is responsible for development of licensing standards. Local Branch offices issue licenses to centers and homes, and enforce the state standards.

Licenses, called Certificates of Approval, are required for centers and homes and are issued only on the basis of direct observation by licensing workers and reports received from the Health nurse and sanitarian, as well as the Education, Fire, and Building Departments. A license is not required for in-home care, but is subject to the approval of a local social service worker based on the States "In-home Care Standards."

Staffing: The state Day Care Staff has 6.05 FTE's. This includes one state day care administrator, working 25% of the time on day care, 4 full-time licensing workers on Oahu, and 5 part-time licensing workers for the rest of the state. The program administrator and licensing staff emphasized that an increase in personnel could improve licensing and enforcement activities. Local offices are responsible for all enforcement. While requests for licenses have tripled in the last eight years, staff size has remained the same.

Staff Background: Minimum requirement for licensing workers is a B.A. degree.

Authority: All licensing workers may issue annual and temporary licenses, but may not turn down license applications. Revocation of licenses rarely happens, as attempts at compliance are directed toward helping the center or home meet standards.

7-2 STANDARDS

Standards Development Process: State standards for day care centers and family day care homes ("Rules and Regulations Governing Group Day Care Centers," 1966; "Rules and Regulations Governing Family Day Care Homes," 1966) are now being revised and updated by the Day Care Administrator and the staff of the Advisory Committee on Day Care.

Content of Standards:

Staff-Child Ratios

Centers:	Ages	Ratios
	2 to 3 years	1:10
	3 to 4 years	1:15
	4 to 5 years	1:20
	5 yrs. and over	1:25
Family Day Care Homes:		
2 to 5 children including provider's own.	1:5 ratio for all ages.	

Additional Components of Standards: Center standards address the following components: facilities, educational services, health, nutrition, administration, safety, staff qualifications, transportation, and evaluation/monitoring.

Family Day Care Home standards address: administration, health, nutrition, program, safety, discipline, facilities, evaluation/monitoring and staff qualifications.

Comparison of Standards and FIDCR: Hawaii has no licensing standards which are more stringent than FIDCR.

The major area of difference between the state standards and FIDCR is in staff/child ratios, with Hawaii allowing many more children to be served by one staff member. For example, in Hawaii, with children from 3-4 years, the staff/child ratio is 1:15 whereas the FIDCR ratio for the same age group is 1:5.

Most day care facilities in the state do not comply with FIDCR; the licensing workers do utilize FIDCR in licensing studies, but providers often do not seek to be eligible for federal funds since the state monies pay for child day care at an acceptable rate.

Note: Those centers which meet FIDCR have Purchase of Service contracts and charge nearly twice the amount that facilities which do not meet the federal standards charge.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	% Lic.	% Disq.	Planned	Actual
Centers	License	216	*	none	annual	annual
Family Day Care Homes	License	175	*	none	annual	annual
In-home	Approval	unk.	unk.	unk.	none	none

Fees for Licenses: none.

Content of License: The license for a center includes:

- name of center
- number of children
- age range
- date of issue and expiration date

The license for a family day care home includes:

- name of family day care provider
- number of children
- age range
- address of home

The issued license is signed by the Director of the Department of Social Services and Housing, and by the Branch Administrator.

7-4 LICENSING PROCESS

Areas of Investigation: The family day care home licensing study covers:

- provider characteristics
- health exams
- program of children's activities
- adequacy of the nutritional component
- facility's physical characteristics and condition

The same areas are covered in the day care center licensing study, except Building, Fire and Health Departments make separate inspections. Also, the Day Care Licensing supervisor or social worker visits the facility personally.

Extent and Nature of Process: Centers and homes become aware that a license is required through community word of mouth, and through information acquired from social workers or potential clients seeking approved placement of a child.

A structured licensing format is used. One visit from a licensing worker is usually required to complete a center licensing study; 2 visits are necessary to conduct a licensing study of a family day care home.

On Oahu, which licenses 80% of all facilities, each full-time licensing worker is responsible for the licensing and re-licensing of approximately 70 family day care homes per year, and for the relicensing of 75 centers per year.

On the average, it takes day care centers 2-6 months to receive a license. The re-licensing process only takes 30-45 days.

Family day care home licensing studies usually average about 3 months. The major problem is getting both family day care home "parents" to take X-rays for tuberculosis. This procedure alone consumes at least 6 weeks.

It is estimated that 20% of the family day care homes which seek a license in order to be paid for the care of WIN children do not complete the licensing process because of the medical examination requirement, which the applicant may not be willing to obtain. Worker then has to arrange for placement into a licensed home.

Re-licensing process for family day care homes takes about 30-45 days.

Conditional Licenses: (called "Temporary Certificates" by state). Temporary licenses are issued for a maximum of six months and reissued as often as needed until deficiencies are corrected.

Since permanent licenses, when issued, are backdated to the date of issuance of the temporary license, the state does not have records on the length of time it takes facilities to come into compliance.

The personnel in Oahu estimate that, at any one time, 30% of all licensed centers and 15% of all family day care homes have temporary licenses.

Revocations: The Oahu staff expressed their frustration at having limited enforcement capabilities. They have great difficulty attempting to revoke a license. A major problem they face is in the over-enrollment in centers; the DSSH has the right to suspend or revoke a license for non-compliance but the legal steps are complex and difficult; thus, most often they are not taken. The licensing staff expressed the hope that the current revision of licensing standards would lead to greater powers of enforcement by staff.

The State program opinion is that power of enforcement already exists, it is the Branches unwillingness to involve the Attorney General's Office and proceed with revocation that is the problem.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Organization: Contracted facilities are the only ones monitored on a regular basis by the Purchase of Service (POS) Unit which has responsibility for all contract monitoring. One POS staff member is assigned to monitor contracted day care facilities.

In addition, branch level licensing workers may monitor day care facilities on a complaint basis only. Branch level social workers may monitor in-home care as needed.

Level of Effort: Of the 4 POS staff, one person is assigned to day care facilities. The monitoring function performed by this person is estimated to take 75% of his/her time. In addition, this day care person negotiates contracts, writes reports requested by the State Legislature, and compiles statistics on day care programs, as contracted.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By whom monitored	Percent Monitored	Frequency	Av. Time per unit
Contracted Centers	POS Unit day care Monitor	100%	1-2 times per year	unknown
All provider types	Social workers	unk.	Occasionally, in conjunction with visits to evaluate child's adjustment	unknown

Visits to the day care centers are announced in advance to allow providers time to prepare records to show the POS monitor.

If a problem is reported, the POS monitor may either visit the facility or request that the provider visit the central office.

8-3 PROCESS

Areas covered by the state POS Unit monitor include: staff-child ratios, compliance with federal regulations (all contracted centers must meet FIDCR) and evidence that records on staff and children are up-dated within the terms of the contract. Program monitoring is done on the Branch and State level with recommendations to the POS monitor.

A standardized self-monitoring checklist has recently been distributed to contracted centers, and will be completed annually. This checklist covers both physical plant and program, with an emphasis on program components. No other standardized document is used to monitor.

Both regular and "as-needed" monitoring visits are made.

8-4 RESULTS

POS staff reported that at any time 50% of contracted providers may be out of compliance with regard to staff-child ratio. The ratio changes daily, however, and the facilities are not labelled "out of compliance."

No provider has been cited for being out of compliance. In fact, the POS staff attempt to arrange a pool of volunteers or teachers to substitute for absent day care facility staff. One center is continually out of compliance, but the state believes it can correct the problem this year.

When a center is out of compliance, the POS Unit can stop monthly contract payments, but this has never been done due to the volume of documentation required. The staff believes that non-renewal of the annual license might be a feasible solution to non-compliance in the future.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Staff Development staff for the Public Welfare Division is in the Department's Personnel Office. This office is responsible for staff development training programs. One specialist of the 4 staff development people is assigned to training Family and Children Services, State and Branch staff. The total training budget for this fiscal year is $190,528 (including 75% federal share). Training for day care staff is not itemized separately.

The state Day Care Administrator occasionally provides technical assistance to branch level licensing workers.

The POS Unit day care monitor provides technical assistance to contracted facilities, but has no budget allocation for this purpose.

Local: Branch level licensing workers often send material on administrative techniques and nutrition to providers, but have neither the assigned responsibility nor the budget to offer training or technical assistance consultation. The unit is inadequately staffed to provide this service.

Staff Background: The state training staff in the Personnel Office have social work experience and master degrees in social work, whereas branch level workers have a minimum of a B.A. degree. Staff at all levels commented that they needed more training and technical assistance in areas of licensing regulations, child development, and interpretation of Title XX.

Job descriptions for Branch Office licensing workers do not mention responsibility for training and technical assistance, and staff voiced deep concern about the lack of official recognition of a need for provider training and technical assistance.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State	Region	Interpretation of new regulations	unknown
State & local	State	Licensing workshop for all licensing staff*	4 days
Local	State	Interpretation of licensing regulations	as needed
Local	State	Transmittal of child development manuals	occasionally

*The University of Hawaii obtained a federal grant to develop a training program for DSSH staff. Working with the Public Welfare Division staff development supervisor and the supervisor of Family and Children Services, the University School of Social

Work, Continuing Education department, decided to offer a licensing workshop to all branch licensing workers, State day care staff and State Advisory Board members. Program content will focus on requests from branch level workers. Panel members will include local fire and health inspectors; Personnel office training specialists will handle administrative tasks and monitor the workshop. This workshop will be conducted in Spring, 1976.

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers	State POS Unit	Instruct all contracted providers in the Social Services Reporting System format.	unknown
Centers & Homes	Local licensing Staff	Send child development and nutrition materials	as requested
	Program Development Staff	Newsletter	Planned Quarterly. Actual: Annually.

State staff admitted that day care is not receiving the focus it needs. Very little contact is made directly with non-contracted providers. A newsletter prepared at the state level has not been published for 18 months because of lack of staff time and secretarial assistance.

Training for staff is minimal, consisting of a single University (funded) sponsored workshop for all licensing workers this spring. Technical assistance is limited to printed resource material which staff feels is not well-distributed and is in short supply.

9-3 PROCESS

The methods for identifying the need for training and technical assistance include requests from staff and providers, and problems identified through POS Unit monitoring. Site visits to contracted providers are the main means of providing technical assistance.

9-4 RESULTS

State personnel were unable to evaluate whether training and technical assistance needs had been adequately met, but stressed their hope that the forthcoming licensing worshop would allow the assembled statewide group of licensing workers to identify training and technical assistance problem areas.

Printed resource material is the major instrument now used to share technical information on day care. However, personnel specialists and branch level staff emphasized that these materials, received by Day Care Administrator from federal sources, are not always shared with them. The State office does send what material they receive, that is useful on the licensing level.

The POS Unit appears to be most actively involved in training and technical assistance to providers; however, the activity is limited to purchase of service contract.

)-5 PRINTED MATERIALS

A series of booklets prepared by the Nutrition Branch of the Department of Health and the General Education Branch of the Department of Education are available to staff and providers. There is also an annual newsletter, by the Public Welfare Division, that addresses various aspects of child day care.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by a centralized support unit of the Administrative Services Office. This fiscal unit has a staff of 40. There is no separate child care unit; child care is one of 52 programs and special projects.

Local - There is no branch level fiscal unit. All fiscal functions are centralized.

Function: Fiscal and program personnel are separate. Program staff submit a yearly budget and quarterly expenditure plans, and fiscal staff may approve or disallow expenditures.

Fiscal staff also offer technical advice on purchase of service contracting.

The fiscal people interact with the State Legislature on all fiscal matters; they submit actual expenditures and number of children cared for, a comparison with projected figures, and a request for supplemental budget increases based on program staff indications.

10-2 FISCAL MATERIALS

Emphasis on the development of fiscal materials has been lacking, according to fiscal personnel, in part due to the increased auditing activities that reorganizing the purchase of service system necessitated.

Fiscal staff noted that child care program development policies were very useful, but federal regulations were not helpful to them in their present form.

All other fiscal materials were considered to be adequate.

In addition, fiscal auditors expressed the hope that recently innovated computer print-outs of monthly expenditures would be improved, to make data more easily accessible and sequenced properly. Currently the auditing task is far too time-consuming.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/CWS	$2,802,657	$3,370,965
WIN	81,781	90,493
TOTAL	$2,884,438	$3,461,458

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Expenditures FY 75-76
Vendor Payments, and Purchase of Service (contracted)	$1,848,745	$2,080,000
Direct Provision/Operation	-0-	-0-
Client Purchase, with social service funds	1,035,693	1,381,458
Client Purchase, with income maintenance funds	-0-	-0-
TOTAL	$2,884,438	$3,461,458

Description of Funding Methods/Processes:

A. Purchase of Service: 64% of all day care expenditures are made through 13 POS contracts, most of which are with day care centers and these may have satellite family day care homes and infant care programs funded in the contract. State regulations prohibit infant care in group day care centers; thus all children under 2 years are in family day care.

Written contracts, containing all required components, are developed for centers, but not for the satellite family day care homes attached to these centers. Centers are responsible, in these cases, for governing the operation of their member homes.

Independent family day care homes are not contracted, but receive vendor payments from the state or from clients directly on the basis of individual children served.

Contract management is performed by the POS Unit of Public Welfare Division and the fiscal unit of the Administrative Services Office. In the past, an auditor was assigned to the POS Unit, but with the new re-organization, audits are performed for day care facilities and other contracted services through the fiscal unit.

Quality control procedures are not written and it was the opinion of fiscal staff that the number of auditors was not sufficient to effectively perform quality control checks.

B. Direct Provision: none.

C. Client Purchase: Some clients receiving day care services are given funds directly from the Public Welfare Division to enable them to pay the provider for services rendered. This appears to be done when requested by the client. However, clients who receive service from contracted facilities are not able to pay the provider directly since all contracted facilities are paid, as per their contract, by the state.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per slot/month

Provider Type	RATES		
	Basis	Non-contract*	Contracted**
Centers	Actual Costs	$100/mo.	$180-200
Family Day Care Homes	Actual costs	$100/mo.	
In-home	Actual costs	$100/mo.	

* allowed maximum ** average

The rates are per slot/month and prorated when the slot is vacant. In 1975, the Hawaii State Legislature passed a resolution requesting the Department of Social Services and Housing to raise the maximum rate per month for non-contracted facilities from $70 to $100. The State Day Care Administrator was responsible for writing an Impact Statement that was administratively approved and subsequently signed by the Governor, making the increase effective July 1, 1975.

10-6 IN-HOME CARE

The bulk of in-home care is for children either below the age of 2 years, or whose parent is enrolled in the WIN program, or for children needing some after-school supervision.

In-home care is not licensed or monitored. Rates are not standardized and a rate range could not be estimated by the state, but maximum rate allowed would be $100.

The state personnel remarked that thus far the minimum wage issue has not affected them since no one has requested that the minimum wage law be enforced; and the state has received no complaints from in-home providers.

10-7 INCOME ELIGIBLES AND PARENT FEES

Income Eligibles: defined as any family whose gross annual income is not in excess of 60% of the state's annual median income, adjusted for family size ($9,413 is 60% level for a family of four). Income eligibles are entitled to payment for day care services by DSSH. Those families not eligible must pay the full cost in the private sector.

Parent Fees: none.

10-8 DONATIONS

Third party non-profit organizations donated $19,659 in FY 74-75; $85,000 is the estimated amount donated for FY 75-76.

1. OVERVIEW

1-1 ORGANIZATION

ADMINISTRATIVE MODEL: State Administered

DESCRIPTION OF ADMINISTRATIVE STRUCTURE: The Idaho Department of Health and Welfare, the State umbrella Agency, is composed of seven Divisions including the Division of Welfare, which is directly responsible for the administration of Title XX. Within the Division of Welfare is the Bureau of Social Services, which administers six units, including Adult Services and Family and Children's Services. It is this Bureau which is responsible for the administration of the State day care program.

The State of Idaho is divided into seven administrative Regions which have line authority over staff in the forty-four field offices in Idaho's forty-nine counties. Each Region has a Manager for Social Services, who deals directly with the Division of Welfare and has line authority over licensing staff and day care programs. This manager reviews and implements policies, procedures, and regulations developed by the Division of Welfare.

Although organizational structure varies from Region to Region, each Region has a Director and a Regional Board. These Boards are advisory and include interested and influential community members nominated by elected county officials.

Budgets are established by each Regional Office and sent to the Division of Welfare for approval. Although the Division has authority to adjust these budgets, generally Regional budgets are accepted as submitted. Although in past years the Division has assisted Regions that have exceeded their budgets, in FY 1977 the Regions will be required to live within their budgets. The Bureau of Finance and Budget and the Bureau of Social Services provide technical assistance to Regions encountering budgeting problems.

ADVISORY BOARD: In May of 1976, a State day care advisory committee was formed to draft revised regulations regarding day care. This advisory committee includes a Regional Service Manager, four vendors, four Division of Welfare representatives, and one citizen at large. The advisory committee, which plans to meet quarterly, is presently discussing the new draft regulations with the groups they represent and attending public hearings to get grassroots support for these regulations. The Division plans to work with the Idaho State Legislature in the coming year to strengthen the day care statues which includes an advisory committee.

Several other day care advocacy groups are also being formed. Some day care parents have formed an ad hoc statewide day care association to promote better day care standards and the Division of Family and Children's Services is trying to organize a children's advocacy group.

INFORMATION SECURED DURING ON-SITE VISIT TO STATE BUREAU OF SOCIAL SERVICES ON JUNE 21, 1976

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	EXPENDITURES FY 74-75	ALLOCATIONS FY 75-76
TOTAL SOCIAL SERVICES FUNDS (TITLES IV-A/XX)	$15,829,299	$13,960,439
TOTAL CHILD CARE FUNDS * (TITLES IV-A/XX) (NON-WIN)	$ 276,147	$ 594,709
PERCENTAGE OF TOTAL SOCIAL SERVICES FUNDS ALLOCATED TO CHILD CARE	1.74%	4.26%

* All resources allocated to day care for FY 76 are Title XX funds. Child care includes services and counseling for day care for normal and handicapped children.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children (Per month)	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
PUBLIC CENTERS PRIVATE CENTERS	163	122	not available	$5,101 ***
GROUP DAY CARE HOMES	---	---	---	---
FAMILY DAY CARE HOMES	484	289	not available	$11,637 ***
IN-HOME CARE	Information not available	21	not available	not available
TOTAL	647	432 **	$276,147 (estimate)	$594,709 ****

* Sanctioned facilities are those facilities which meet State licensing requirements.
** Includes children in WIN day care.
*** Figures here are actual expenditures for the month of May, 1976. Actual expenditures for FY 1976 are not available.
**** Anticipated expenditure for FY 1976.

1-4 INFORMATION

NATURE OF RECORDS:

TYPE OF RECORD	UTILIZED	PRIMARY CLIENT	WHERE MAINTAINED
NARRATIVE SOCIAL SERVICE CASE RECORDS	YES	FAMILY	LOCAL
STANDARDIZED SOCIAL SERVICE FORMS	YES	FAMILY	STATE AND LOCAL
COMPUTERIZED RECORDS	YES	FAMILY	STATE

The Idaho Social Service Information System (SSIS) has been operative since January, 1975, and has established a satisfactory level of accuracy in January, 1976. Data is aggregated at the State level in order to produce reports on worker case load, type of service, number of clients served, service break-out by Region, and a print-out of client names. The information system is also able to provide a record of all day care facilities and the dates that their day care licenses expire. SSIS is also able to produce an "alpha list" which tells what services each client is receiving. Additional information will become available as SSIS becomes more sophisticated.

In order to obtain accurate statistical and financial information, each licensing worker is required to fill out a form which provides computer information regarding licensed vendors. Each vendor completes a statistical form compiling the number of children served, the number of days each child required day care, and the rate of payment. This form is signed by the parent and the caseworker and sent to the Division each month so that the proper payment can be made.

1-5 STATUTES:

The statute which governs the operation of day care is the:

Child Care Licensing Act(39-1208 through 39-1224, Idaho Code) which requires the licensing of day care homes and day care centers and makes it the responsibility of the Department of Health and Welfare to promulgate rules and regulations and to implement and enforce these standards.

1-6 IDENTIFIED STRENGTHS/PROBLEMS

Strengths:

1. Regional operation for budgeting and staffing enables local needs to be met and encourages coordination.

Example--Region VII needed an additional day care center and was able to find a church group willing to provide this service. Public Service Employees were used to help staff this center.

2. Regional offices issue day care licenses increasing the efficiency and simplicity of the licensing process.

Weaknesses:

1. Vague day care legislation contains loopholes which make enforcement difficult.

2. Uniform enforcement does not exist since enforcement often depends on the local prosecuting attorney.

3. Each local unit of government has its own fire, sanitation, and safety regulations, some of which are less stringent than State standards.

4. There is no licensing staff at the State level. The position is available but has not been filled due to a lack of funds.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

A needs assessment for day care was undertaken as a part of the FY 1976 Title XX needs assessment and planning process. The needs assessment process was designed by the Division and implemented by each Region. In order to accomplish this task, one management staff person was utilized full-time for two months and one services staff person was utilized full-time for three months. Each Region utilized one staff member part-time for three months for the needs assessment.

A variety of sources and data collection techniques were utilized in this process. Questionnaires and interview schedules were used to sample consumers, service providers, and community agencies while in-house meetings were utilized to obtain Regional staff input. In addition, the Idaho Office of Child Development conducted three major research surveys and has published its results in a booklet called Growing Up In Idaho.

2-2 PROCESS

SOURCES OF INFORMATION	EXTENT UTILIZED	STRATEGY
DOCUMENTARY SOURCES	EXTENSIVELY	Review of historical and current reports, statistics, payments, etc. to establish trends.
AGENCY PERSONNEL	EXTENSIVELY	In-house meetings with Regional Staff
COMMUNITY AGENCIES	SOME EXTENT	Questionnaires to public and/or private agencies for FY 77 (Utilization varied from Region to Region)
SERVICE PROVIDERS	SOME EXTENT	Questionnaire for FY 77 plan. Provider survey to establish cost of care
CONSUMERS	EXTENSIVELY	Interviewed a random sample of 10% of the population.
GENERAL PUBLIC	LITTLE	Public Comments

2-3 RESULTS/UTILIZATION

Regional planning boards developed their proposed Title XX plans on the basis of needs identified through the above processes.

Through this process the Division was then able to estimate the total number of people needing day care services and identify client categories to be served. A need for therapeutic child care was also identified through the needs assessment process and a service objective to meet this need was incorporated in the Title XX Plan.

3. PLANNING AND IMPLEMENTATION

Each of the seven Regions in the State of Idaho has developed a Regional Service Plan based on the information gathered through a variety of needs assessment techniques. In order to accomplish this task, each Region has selected a planning board consisting of a consumer, a representative of a public or private agency, a county commissioner or city council member, and usually a legislator. These persons assist in the drafting of a Regional Title XX Plan which is reviewed by the Regional Director and Regional Board. The Division of Welfare then reviews and combines the seven Regional plans into a Proposed State Title XX Plan. In order to coordinate with WIN, the Division met with WIN personnel to determine what types of [illegible] care were needed. An agreement was made to have uniform contracts with providers so that WIN and Title XX clients can use the same facilities.

Plans for FY 1977 include a zero-based needs assessment questionnaire which is expected to utilize five person months over a period of three calendar months. It is hoped that one person will be able to coordinate this effort and utilize the management planner, the social service program planner, the budget analyst, and social service program staff.

AREAS FOR QUANTIFICATION	DEFINED	QUANTIFIED	TYPES AND NUMBERS	COMPARISON
TOTAL NUMBER TO BE SERVED	YES	YES	974*	increase
POPULATION CATEGORIES TO BE SERVED	YES	YES	AFDC Income Eligible	increase
PRIORITY POPULATION CATEGORIES	YES	YES	Children whose parents are working or receiving training	same
SERVICE PROVIDER TYPES	YES	YES	Centers and family homes	same
SPECIAL PROVIDER ATTRIBUTES	YES	YES	Bilingual care with special hours for 40 migrant children	new
GEOGRAPHIC AREAS	YES	YES	Statewide with seven Regional areas	same
DOLLARS ALLOCATED FOR CHILD CARE SERVICE	YES	YES	$594,709	increase

* This includes 589 AFDC eligible (Goal I) and forty income eligible (Goal II). 345 income eligibles who were to receive day care as a protective service did not receive this service due to a lack of funds. Thus the actual number served is 629.

4. EVALUATION

The State of Idaho has not conducted any evaluative studies in day care. If future evaluation projects are undertaken, it is expected that the Division would design a study to be implemented by each Region.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES:

Information and referral services for day care are provided by WIN workers and social service workers. Some field offices also have a special information and referral worker who also can assist parents in finding a day care facility. The worker and the parent jointly select the facility with information from the licensing staff or by direct contact with a facility. Three months later placement is followed up by a discussion with the parent regarding the day care services being provided.

5-2 PROCESS

ASSEMBLING INFORMATION:

PROVIDER TYPE	SYSTEMATIZED	FREQ. OF UPDATES	INFORMATION COMPILED			
			AGES	HRS.	RATES	AVAIL.
CENTERS	NO SYSTEM	--	--	--	--	--
HOMES	NO SYSTEM	--	--	--	--	--
IN-HOME	NO SYSTEM	--	--	--	--	--

* Responsibility of each worker to know status of facilities in their work load.

5-3 RESULTS

TIME PERIOD: Monthly

NUMBER CLIENTS SEEKING SOCIAL SERVICES REFERRAL	Not available
NUMBER CLIENTS SEEKING CHILD CARE REFERRAL	Not available
NUMBER ACTIVELY ASSISTED	629 children
NUMBER SECURING THEIR OWN SERVICES	Not available
NUMBER UNABLE TO SECURE SERVICES	Not available

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The Bureau of Social Services within the Division of Welfare has responsibility for the development of written regulations regarding eligibility requirements for social services. These regulations are sent to each Region to be implemented. Actual determination is made by WIN and social service workers.

6-2 POLICY PROVISIONS

The Bureau of Social Services has chosen to provide day care services to children of AFDC parents who are involved in employment or training activities. Day Care is also provided to a small number of income eligible persons under 80% of the State median income. No fees are charged for day care services.

6-3 PROCESS AND VOLUME

Eligibility for day care services is determined by agency staff within 15 days of application. At the present time the State does not have a quality control process for social services. However, it is expected that quality control procedures will be in effect by September 1, 1976. Redetermination of service eligibility is made every six months and at redetermination of AFDC eligibility. A declaration process is used for such redetermination and a sample is verified.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

The State has established licensing standards which are implemented by the Regional Offices. It is the responsibility of each Regional Office to inspect and license day care facilities and to deny or revoke licenses as is necessary. It is estimated that the State has nineteen licensing workers. In most cases licensing staff members have previous casework experience and at least fifteen upper division semester hours of education.

7-2 STANDARDS

Present standards were developed by State staff with input from the legislature. New standards are being proposed by the State day care advisory board and an ad hoc group of day care parents and interested citizens. Draft regulations written by the advisory board are being circulated for comment and it is anticipated that new regulations will be issued.

CONTENT OF STANDARDS:

STAFF-CHILD RATIOS

	AGES	RATIOS
CENTERS	0-18 months	6:1
	18-30 months	8:1
	30-36 months	10:1
	3 years and older	10:1
GROUP HOMES	---	---
FAMILY DAY CARE HOMES	No more than 2 children under 2 in any home	4:1

Components covered in the standards for licensing of day care facilities include:

1) Evidence of sufficient resources
2) Record keeping and reporting
3) Safety and health
4) Physical care
5) Discipline
6) Program - educational services
7) Provisions for children under 30 months
8) Groups to be served
9) Facilities
10) Nutrition
11) Administration

COMPARISON OF STANDARDS WITH FIDCR: State standards do not incorporate the FIDCR child-staff ratio, social service, staff training, parent involvement, and evaluation requirements. The State has no FIDCR certification process for those facilities which may meet FIDCR requirements.

7-3 SUMMARY OF ACTIVITIES

PROVIDER TYPE	SANCTION REQUIRED	PROVIDERS			RENEWAL FREQ.	
		TOTAL #	# SANCTIONED	% DISQ.	PLANNED	ACTUAL
PUBLIC CENTERS	YES	163	100%	3%	ANNUAL	ANNUAL
PRIVATE CENTERS						
GROUP DAY CARE HOMES	--	--	--	--	--	--
FAMILY DAY CARE HOMES	YES	484	100%	3%	ANNUAL	ANNUAL
RELATIVE DCH's	--	--	--	--	--	--
IN-HOME	--	--	--	--	--	--

7-4 LICENSING PROCESS

Licensing is usually completed within thirty days and includes a minimum of one staff visit for approximately two hours in centers and one hour in homes. Centers have a minimum of one fire and one health visit with additional visits if problems are identified. Licensing staff determines whether applicants for home licenses require a fire or health visit due to special conditions in the home.

Provisional licenses are issued for no more than one month per year to a center or a home. It is estimated that three percent of centers and two percent of homes currently have a provisional license. Approximately three percent of all licenses are revoked each year.

8. MONITORING

8-1 ORGANIZATION

Casework staff makes irregular visits to facilities and reports problems to licensing workers who review each facily every six months. Central Office social service staff does spot check monitoring of a sample of facilities each year.

8-2 SUMMARY OF MONITORING ACTIVITIES

PROVIDER TYPE	BY WHOM MONITORED	PERCENT MONITORED			FREQUENCY	AV. TIME PER UNIT
		OF ALL SANCTIONED	OF ALL SERVING FFP's	OF ALL CONTRACTED		
PUBLIC CENTERS	LICENSING STAFF	100%	100%	100%	Semi-annually-local staff/ annually-state staff	2 hours
PRIVATE CENTERS						
GROUP DAY CARE HOMES	--	--	--	--	--	--
FAMILY DAY CARE HOMES	LICENSING STAFF	100%	100%	100%	Semi-annually-local staff/ annually-state staff	1 hour
IN-HOME	--	--	--	--	--	--

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION

State licensing staff receives training in methods of licensure, interviewing report writing, and coordination with fire and health inspectors. Training is provided or arranged by Regional Service Managers. Region IV licensing staff has provided or arranged training for a group of day care operators who have formed an organization and requested assistance. Topics discussed include standards for good day care, nutrition, management, and facility requirements.

9-2 ACTIVITIES

STAFF DEVELOPMENT

TO WHOM	BY WHOM	DESCRIPTION	AMOUNT
STATE LICENSING STAFF	REGIONAL SOCIAL SERVICE MANAGERS	-METHODS OF LICENSURE -INITIAL INTERVIEWS -WRITING REPORTS -COORDINATION WITH AGENCY STAFF -COORDINATION WITH FIRE AND HEALTH INSPECTORS	SOME

PROVIDER TRAINING AND ASSISTANCE

TO WHOM	BY WHOM	DESCRIPTION	AMOUNT
ORGANIZATION OF DAY CARE PROVIDERS	REGION IV LICENSING STAFF	STANDARDS OF GOOD DAY CARE, FACILITY AND MANAGEMENT NEEDS, NUTRITION	A LITTLE

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

The Division of Management in the Department of Health and Welfare is responsible for the fiscal management of day care and other State programs. The State office determines the formula for distribution of funds to each Region and designates the amount to be used for social services. The Regional Social Service Managers then determine the amount to be spent on each social service program in their Regions. The Regional Budget Manager then computes the Regional budget based on the recommendations from each Regional program manager.

10-2 FISCAL MATERIALS

Fiscal materials provide an adequate amount of information regarding the Idaho service program. However, at this time the State is unable to obtain specific data for each social service offered. As the SSIS system expands, more specific service data may become available.

10-3 INCOME SOURCES

TOTAL SOCIAL SERVICE PROGRAM

SOURCE	ACTUAL AMOUNT/% FY 74-75	AMOUNT/% FY 75-76
TITLE XX/IV-A	$12,101,333	$11,720,380
WIN	661,374	484,452
CWS	478,018	458,730
UNMATCHED STATE FUNDS	2,588,574	1,296,877
OTHER	---	---
TOTAL	$15,829,299	$13,960,439

* Information on day care only is not available. Refer to form 1-2 for day care expenditures and allocations.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

TOTAL SERVICE EXPENDITURES

METHOD	EXPENDITURES FY 74-75	ANTICIPATED EXPENDITURES FY 75-76
PURCHASE OF SERVICE CONTRACTED FACILITIES	$ 1,172,346	$ 886,940
VENDOR-PAID FACILITIES	1,695,670	1,240,073
DIRECT PROVISION/OPERATION	12,961,283	11,833,426
CLIENT PURCHASE WITH SOCIAL SERVICE REIMBURSEMENT	---	---
TOTAL	$15,829,299	$13,960,439

DAY CARE SERVICE

METHOD	EXPENDITURES FY 74-75	ANTICIPATED EXPENDITURES FY 75-76
PURCHASE OF SERVICE CONTRACTED FACILITIES	$ 276,147	$ 594,709
VENDOR-PAID FACILITIES		
DIRECT PROVISION/OPERATION	-0-	-0-
CLIENT PURCHASE WITH SOCIAL SERVICE REIMBURSEMENT	-0-	-0-
TOTAL	$ 276,147	$ 594,709

PURCHASE OF DAY CARE SERVICES The Department of Health and Welfare does not operate day care facilities or provide clients with funds to purchase services. All day care is provided on a contractual basis or through AFDC vendor payments. Contracts for day care are negotiated in the Regions and sent to the Department of Health and Welfare to be approved by the Program, Fiscal, and Legal Divisions and filed in the Legal Division. Contracts are reviewed by program and audit staff on a sample basis. Quality control procedures are presently being designed.

10-5 RATE ESTABLISHMENT

PROVIDER TYPE	RATES		
	BASIS	PER DAY	RANGE
PUBLIC CENTERS		$4.00 - 1 child $6.00 - 2 children $8.00 - 3 or more children	The rate is the maximum that can be paid
PRIVATE CENTERS			
FAMILY DAY CARE HOMES		$4.00 - 1 child $6.00 - 2 children $8.00 - 3 or more children	The rate is the maximum that can be paid
GROUP DAY CARE HOMES	--	--	--
IN-HOME		$4.00 - child $6.00 - 2 children $8.00 - 3 or more children	The rate is the maximum that can be paid *

* An additional 6% is allowed for employee social security tax.

10-6 IN-HOME CARE

There are no stringent policies regulating the qualifications of in-home care. The State allows in-home care only on a part-time basis (less than 20 hours per week) in order to avoid the minimum wage law.

10-7 INCOME ELIGIBLES AND PARENT FEES

Only a small number of income eligible clients have received day care due to a lack of funds. At this time the State does not have a fee system for day care since funds are limited and the current day care program cannot be expanded. If Title XX eligibility rules change, the State will consider the possibility of establishing a fee system for day care.

10-7 DONATIONS

Some donations are made to the day programs. Generally, these donations are in-kind although some are cash donations.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: The child day care management and delivery systems in Illinois are State-administered.

Description of Administrative Structure: There are four allied social service agencies under the Governor's office in Illinois: the Department of Mental Health and Developmental Disabilities; the Department of Children and Family Services; and the Department of Public Aid. The Department of Children and Family Services (DCFS) has mandated responsibility for planning and coordinating all State day care activities; providing day care services to low income families; and monitoring and licensing day care facilities. This responsibility was established by the Illinois Child Care Act of 1969.

The Department of Public Aid (DPA) is the designated single State agency for planning and delivering social services funded under Title XX, including day care. DPA also administers WIN day care. The Department of Public Aid provides Title XX day care services to recipients of public assistance. In addition, DCFS certifies to DPA, as the designated agency, expenditures for day care services which are eligible under Title XX. Services for children with special needs are purchased from the Department of Mental Health and Developmental Disabilities by the same method. The Department of Public Aid then has responsibility for monitoring contracts to ensure that services are being provided to eligible clients and that all reporting, fiscal, and administrative requirements are being met. Each agency has established its own method of intake and service delivery; however, DPA maintains a central Title XX eligibility center in Springfield to ensure uniform application of eligibility requirements.

Within DPA, the Bureau of Social Services has responsibility for day care. There are three units: Field Operations; Program Services; and Fiscal Control and Monitoring. Coordination of all day care management functions (planning, contract monitoring, etc.), both intra- and inter-agency, takes place within this Bureau.

****

The Illinois site visit was conducted in March 1976 with State staff members at the Department of Public Aid and the Department of Children and Family Services.

The locus of responsibility for day care within the Department of Children and Family Services is the Office of Child Development. This office has five basic functions: 1) planning (State mandated interagency plan for day care and input to DPA for Title XX Plan), 2) licensing of both centers and homes, 3) technical assistance, 4) evaluation (equivalent of FIDCR certification plus other quality measures), and 5) fiscal management of purchased services. There is a separate unit for each function.

Region: DCFS maintains 14 area offices in which State licensing staff are outposted. These offices also provide information and referral. Other functions are centralized, for the most part, in either Springfield or Chicago.

DPA also has separate county and district (Cook County) offices, which serve as access points for service requests and determination of service need. Title XX eligibility data is also collected in the county and district offices. Information and referral services are offered as well.

Linkages among programs have been facilitated by the administrative structure. DPA is the single State agency for AFDC, WIN, SSI, Medicaid, and Title XX. DCFS is the designated agency for Title IV-B and has statutory authority to develop and implement day care standards. A resource inventory is being undertaken to coordinate all human service programs.

A Day Care Advisory Council to DCFS has also been established for coordination among day care programs. This Committee includes representatives of each public State agency, private providers and consumers. It is staffed and coordinated by the Office of Child Development, Department of Children and Family Services. The Committee has a broad range of coordination purposes related to day care policy in the State.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 75	FY 76
Total Social Services Funds (Titles IV-A/XX)	106,711,978	130,842,533
Total Child Care Funds (Titles IV-A/XX)	39,688,117*	43,079,481*
Percentage of Total Social Services Funds Allocated to Child Care	37%	33%

*These figures include direct service cost of operation of OCD, but do not include indirect administrative costs. An allocation of 55% of Title XX CC funds is made to DCFS through a service purchase contract.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Provider	Number FFP Children (per year)	Actual Expenditures FY 75	Anticipated Expenditures FY 76
Public Centers	None	None	None	None
Private Centers	2,218 licensed	DCFS 10,043[a]	Breakdown by provider type not available	
Group Day Care Homes	None	DPA 20,300		
Family Day Care Homes	6,065	DCFS 154		
In-home Care	N/A			
TOTAL	8,283	30,497	DCFS 25,748,477[bd] DPA 16,420,000[c]	DCFS 26,438,577[bd] DPA 19,458,000[c]

[a] This represents the high enrollment figure for the year. The actual number of slots under contract is 9,989.

[b] Total expenditure for contracted slots plus individual purchase of care.

[c] Expenditures for indirect administrative costs not included.

[d] Includes OCD direct service costs but no indirect administrative costs.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	DPA-Yes DCFS-Yes	DPA-Family & Child DCFS-Family & Child	DPA-Local DCFS-Local
Standardized Social Service Forms	DPA-Yes DCFS-Yes	DPA-Family & Child DCFS-Family & Child	DPA-Provider Local DCFS-Provider Local
Computerized Records	DPA-Yes (as of 3-1-76) DCFS-No	DPA-Family	DPA-State

The Department of Public Aid and the Department of Children and Family Services have separate recordkeeping systems. The only form that is common to both is the "Application for Title XX Services." This form includes household income, family size, income maintenance status, and other demographic information.

Complete social service records for DPA include the following forms: Social Service Face Sheet; Application for Title XX Services; Social Services Plan Report; Information on Case History; Service Log; and Service Report. The Service Plan Report contains the goal statement and service plan and methods. The only information kept at the State level is that from the Client Service Log, which is a computerized record implemented March 1, 1976. The Service Log includes identifiers, goal assignment, service plan direction, and special problem areas. All services provided are recorded on this sheet.

The Department of Children and Family Services requires State funded day care centers to complete monthly enrollment reports for each subsidized child. These reports include information on goal, goal status, attendance, fees, etc. Other forms used include the Title XX application form and, in some cases, narrative social service records.

DPA data is aggregated at the State level. A Title XX information system is currently being developed which will have the capacity to generate information to meet Federal reporting requirements, claiming, compliance with regulations, and improved internal service management. The system is being gradually implemented by modules.

DCFS aggregates a considerable amount of data at the State level, as evidenced by the statewide Annual Day Care Report and Plan.

1-5 STATUTES

Day care in Illinois is regulated by the Child Care Act of 1969 (as amended). This Act establishes administrative authority for child care facility licensing and places responsibility for coordinating child care, planning, etc., within the Department of Children and Family Services.

In addition to the statutory requirements, and the administrative requirements allowed by the legislation, day care facilities in Illinois are also subject to "home rule" according to the Illinois Constitution. Any "home rule unit," (a county which has an elected chief executive officer or a municipality of more than 25,000 population) has the power to regulate or license for the protection of public health, safety, or welfare. Areas within the State have exercised this power and require additional licensing for day care facilities.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The following problems/strengths were identified during discussions with State and county agency personnel. It should be noted that these statements, as are the majority of the other information presented in this summary report, are self reports provided by the individuals interviewed. They are not the product of an evaluation or are they judgments made by Unco, Inc. or the regional office.

Department of Public Aid:

- Administrative Costs - Administrative costs are high in Illinois due to layers of sub-contracting for day care services.
- No Umbrella System - Coordination between agencies is often limited. More controls over programs are needed.
- Lack of Staff - There are only a limited number of staff for evaluation, planning, and monitoring.
- Fiscal System - When fully implemented the system will have built-in checks and balances which will reduce the number of staff needed for monitoring.

Department of Children and Family Services:

- Quality Child Care - It has been difficult to determine reasonable costs for quality child care. What is it?
- FIDCR - Federal requirements are not susceptible to clear interpretation. Closer monitoring by Federal staff is needed to maintain nationwide consistency. If there were more Federal involvement, the State might be more willing to increase appropriations to meet costs.
- Needs Assessment - Better needs assessment and planning are needed for more equitable allocation of resources.
- Lack of Start-up Funds - Potential day care resources are often discouraged by capitalization requirements. More start-up funds are needed.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Responsibility for identifying high priority areas and groups for day care in the State of Illinois has been statutorily placed within the Department of Children and Family Services (DCFS), as part of overall responsibility for day care planning. The Office of Child Development (OCD) within DCFS was delegated responsibility for planning when it was created in 1974. A planning unit within OCD was developed in 1975. Gathering statistical data on day care needs was a specific assignment of this unit. The planning unit of OCD has one full-time staff member, who is responsible for developing a statewide day care needs assessment for children of low income families.

As the designated agency for Title XX administration, DPA is responsible for coordinating the needs assessment mechanisms utilized for the Title XX planning process to ensure that the service needs of State residents are taken into account. For the first Title XX program year, because of time constraints, needs assessments were conducted primarily through the public hearings process and soliciting copies of needs assessments already conducted for segments of the Illinois population.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensively utilized	Statistical studies
Agency Personnel	Extensively utilized	Survey and normal feedback
Community Agencies	Utilized to some extent	Committee participation
Service Providers	Utilized to some extent	Some feedback
Consumers	Utilized to some extent	Complaints and volunteer information
General Public	Utilized	Public notice Title XX hearings

Monthly service data and census data, are used as the basis of needs assessment in conjunction with other more subjective information. Federal grant funds were used to survey the special day care needs of migrant camps in Illinois.

2-3 RESULTS/UTILIZATION

Needs assessment completed thus far has affected day care plans and resource allocations. It has been determined that there were insufficient resources in certain high priority areas, while other areas had surpluses due to under-utilization of funds. Resource allocation has shifted accordingly.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

Ongoing Planning: The Illinois Welfare and Rehabilitation Services Planning Act is a recently passed State law, mandating nine human service agencies to present a 5-year plan to the legislature each year, showing service goals, target, risk, service populations, and expenditures and expenditure sources for each service provider.

Responsibility for statewide day care planning is vested in the Department of Children and Family Services under the authority of the Child Care Act of 1969. The specific mandate is to:

> Develop a comprehensive day care plan for the State which identifies high priority areas and groups, relating them to available resources, and identifying the most effective approaches to the use of existing day care services.
>
> Illinois Revised Statutes
> Public Act 76-1577

The Director of DCFS has delegated the responsibility to the Office of Child Development. A planning unit within OCD was created in 1975. The Director of OCD, with the assistance of the planning unit, works with representatives of DPA, the Department of Mental Health and Developmental Disabilities, and the Illinois Office of Education in generating a yearly day care report and plan.

Title XX Planning: As the designated single State agency for Title XX services, the Department of Public Aid (Bureau of Social Services) has final responsibility for the Comprehensive Annual Services Plan. The FY 76 planning activities were monitored and supervised by the Office of the Governor through a task force comprised of members of the four State social service agencies and the Bureau of the Budget. The task force was divided into three functional committees: 1) Plan Development, 2) Fiscal and Information, and 3) Public Review. The task force made policy decisions, approved planning process work, and assured that the Plan was complete.

Staffing: Information is not available on the amount of time or personnel required to complete the Title XX Plan.

3-2 PLANNING PROCESS

The DPA planning process for Title XX was supervised by the task force described above. Bureau of Social Service staff had responsibility for completing the Plan. The interagency committee structure was developed to assure that all concerned State agencies would be involved in the product. Additionally, members of private agencies, representatives of National Association of Social Workers, and officials of the Illinois Union of Social Service Employees worked with the committees.

Public involvement in the planning process included the following:

- a letter sent to concerned citizens requesting comments regarding the service delivery system and soliciting copies of needs assessments.
- ten public hearings throughout the State.
- plan publication

The planning process primarily consisted of budgetary allocation for projected day care service needs since DPA is mandated by State law to provide necessary social services to recipients of public assistance. Day care must be provided for recipients who are in need and are employed or in an approved education or training program. Separate units within the Bureau of Social Services are responsible for WIN and Title XX planning.

According to State statute, comprehensive day care planning is the responsibility of the Department of Children and Family Services. This planning is completed with the cooperation and coordination of DPA, DCFS (coordinating agency), Department of Mental Health and Developmental Disabilities, and the Office of Education. The DCFS statewide Day Care Plan is a source of input into the Title XX Plan. DCFS is also responsible for IV-B planning.

3-3 RESULTS

The following chart describes the Illinois Title XX Plan for the first (21 month) program year.

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be Served	Yes	Yes	179,000 children (for 21 months)	Same
Population Categories to be Served	Yes	Yes	AFDC SSI and income eligibles	Same
Priority Population Categories	Yes	Yes	Employment/Trgn. Programs (non-WIN) Children whose caretaker is incapacitated Children in need of protective service because of actual or potential abuse or neglect	-
Service Provider Types	Yes	Yes	Day Care Center Day Care Home In-home Care	Same
Special Provider Attributes	No	No	-	-
Geographic Areas	Yes	Yes	Budget allocation by area office and Central (OCD)	More
Dollars Allocated for Child Care Service	Yes	Yes	$95,886,000 (for 21 months)	More

DPA is responsible for evaluating compliance with the Title XX Plan.

Planned Organizational Changes: The Bureau of Social Services has been reorganized to better implement Title XX.

3-4 UTILIZATION/IMPLEMENTATION

An accurate estimate of the number of children which might be served proved to be difficult to obtain during the Title XX planning process due to time constraints. Numerical estimations varied from different sources depending on methods for determining number of children full- versus part-time (FTE's or actual number of children) and for obtaining unduplicated counts. The first year Plan, therefore, may not accurately represent the number of children to be served. In the future, DPA will be able to more specifically define data input needs from other agencies for planning purposes.

The original Plan was amended in February in response to public requests from both consumers and providers regarding the fee schedule. The new schedule reflects these concerns. Fees have been lowered and a flat rate for families regardless of number of children, is being charged.

Since the site visits, the Illinois Plan has also further been amended in response to a change in regulations. The Plan now includes allowance for protective day care without regard to eligibility or fee. This service will be provided through DCFS.

4. EVALUATION

4-1 ORGANIZATION

Several agencies have responsibility for day care evaluation in different contexts:

Organization Evaluation: (all agencies) Each agency which cooperates with the Department of Children and Family Services (DCFS) is responsible for evaluating its own compliance with goals and objectives established during the statewide day care planning process, and for submitting this information to DCFS with the following fiscal year plan. Since DCFS is the only one of the four agencies which has a separate day care unit (OCD), it is the only one which establishes goals and objectives for day care as part of the normal budgetary process. DCFS, therefore, has more specific goals and objectives from which to evaluate performance regarding day care than do the other agencies.

Center Evaluation (DCFS): On a program basis, DCFS has established an evaluation unit to maintain quality control for State funded day care centers. Visits to centers are made to identify program strengths and weaknesses according to a series of questionnaires and observation checklists.

Evaluation of Services (DPA): The Department of Public Aid is currently planning a management information system which will have the capability to generate detailed information regarding service mix plus selected client characteristics and related cost information. This will provide information necessary to evaluate service effectiveness with regard to goal achievement on a client basis. The relative success of alternative programs could also be analyzed. DPA is currently organizing an evaluation unit to work with the DHEW regional office in developing evaluation strategies for Title XX services, including day care.

Evaluation Study of DCFS Licensing (IEFC): In addition to these ongoing evaluation efforts for day care, the Illinois Economic and Fiscal Commission sponsored an evaluation study of the day care licensing unit in the Department of Children and Family Services. The final report, published in October 1974, is entitled Day Care Licensing and Regulation: A Program Evaluation. The Project Director was John Lounsbury. (The report is also referred to as the Lounsbury Report.) The project began in May 1973 in the aftermath of a fire in a licensed day care home in which six children died. The study was designed as a result of consultation with legislators and their staff having responsibility for and interest in day care.

4-2 ACTIVITIES AND PROCESSES

Organizational Evaluation: Results of the comparison between agency established objectives for the statewide Day Care Plan, current status and actual levels of achievement for that fiscal year are published in the following year's plan as an annual report for that year's activities. An example of a DCFS FY 76 goal statement against which performance will be measured is as follows:

INPUT

Goal 1. License and monitor all day care facilities as required under the Child Care Act of 1969.

Objective: Develop and initiate a staff development and training program for day care licensing staff and technical assistants.

Activities: Conduct three, 3-day training sessions for 100 employees.

OUTPUT

Indicators: FY 76 - 100 staff trained.

Impact: a) Staff knowledgeable in regulatory, supervisory, and consultative roles of licensing.

b) Full understanding of new day care licensing standards.

c) Development of licensing training manual.

d) Staff knowledge of legal aspects of licensing.

Evaluation Study of DCFS Licensing (IEFC): The DCFS licensing unit evaluation was a special study conducted by Illinois Economic and Fiscal Commission staff. The IEFC staff interviewed representatives of all State agencies primarily involved in the regulation of day care facilities, and State licensing specialists. Also surveyed was a random sample of 1,000 licensed day care home and 1,000 day care center operators in the State; 230 day care center workers; 700 parents of children in day care centers; and 580 parents of children in day care homes. The organization processes, and effectiveness of the licensing unit and the effectiveness of the licensing standards were examined.

Evaluation of Services (DPA): Evaluation of client goal achievement will be achieved by DPA with the aid of data from the Client Service Log. Systems are also being developed which should yield some data on individual program effectiveness. The Department of Children and Family Services evaluates individual centers on the basis of questionnaires and observation checklists. DCFS also evaluates goal achievement through the regular monthly reporting process.

4-3 RESULTS

Organizational Evaluation: Results of agency outcome for planned goal achievement are dynamic. Information is available through the agencies, and in part within the Annual Report on Day Care which accompanies the Statewide Day Care Plan.

Evaluation Study of DCFS Licensing (IEFC): Major findings from the Lounsbury Study include the following:

> *there have been at least 18 instances of child abuse in licensed day care homes since 1969;*
>
> *there is only minimal monitoring to ensure that standards are being met by licensed facilities;*
>
> *one-third to one-half of children in day care facilities are enrolled in unlicensed facilities;*
>
> *for both homes and centers there is a definite lack of statewide uniformity among licensing personnel in the interpretation and administration of standards; and*
>
> *where serious violations are found, there are a variety of factors which make it difficult to revoke a license or close a facility.*

Many of the recommendations for change resulting from the study have since been implemented. For example, training programs for licensers have been developed; written tests on licensing standards and practices are being designed and will be required for all licensers; day care licensing requirements have been revised. Recommendations from the study fell into four groups: 1) those intended to ensure uniform application of day care standards, 2) those which would enable day care consumers to play a larger role in day care regulation, 3) those designed to achieve more effective use of DCFS personnel, and 4) those which would improve the general effectiveness of monitoring and enforcement.

Center Evaluation (DCFS): DCFS is striving to conduct a yearly comprehensive written evaluation for each center which receives State/Federal funds. Results are given to the technical assistance staff of OCD, who have responsibility for working with each center to correct any problems identified in the evaluation process.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES

Department of Children and Family Services: Each area office in the State offers information and referral services. There is public recognition that OCD is responsible for day care, and that information is available through DCFS area offices.

Department of Public Aid: DPA provides information and referral services under Title XX, through local offices.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hours	Rates	Avail.
Centers	DCFS - Yes	DCFS-annually DPA-currently depends on individual worker	Yes	Yes		
Homes	DCFS - Yes DPA - No	DCFS-annually DPA-currently depends on individual worker	Yes	Yes		
In-home	DCFS - No DPA - No	DPA-currently depends on individual worker				

Disseminating Information:

DCFS: In the Chicago Office of DCFS a special intake procedure has been developed to identify resources to meet the needs of those inquiring about the availability of day care services. The "hotline" has been publicized in the Chicago area.

Each DCFS area office keeps a listing of all licensed day care centers and day care homes within their geographic boundaries.

DPA: The Department of Public Aid is preparing a computerized catalogue of community services. This information will be available to case managers for use in directing clients to available resources, including day care. Currently DPA workers use traditional I&R tools, i.e., card catalogue and resource directories, which are available in local offices.

Assessing Client Need/Referral and Follow-up: Need for day care is assessed as part of the eligibility determination process. See Section 6-3 in Eligibility for more detail. Clients who are not eligible for subsidization receive information regarding day care and referral to appropriate licensed providers in their geographic area from DCFS area offices and DPA county offices (District in Cook County).

DPA and DCFS each determine their own clients' need for services. DPA provides day care services to public assistance recipients who have need for day care because of employment, training or education, or rehabilitation. Need for day care is established at county offices by social service workers. Referral may be made to a licensed center or home. If the parent chooses an unlicensed home, the DPA service worker makes a licensing referral to DCFS. Payment for the unlicensed day care plan may not exceed 8 weeks.

DCFS determination of need for day care is made centrally in Springfield. In addition to employment/training related day care services, DCFS provides services for special needs cases including physical or mental incapacitation of parent protection of the child, and child's retardation, mental, or psychological needs.

DCFS primarily refers to licensed centers and maintains records for each child's placement.

Provision of care through both agencies must be suitable for the individual child. The parent as well as the service worker must be involved in determining and agreeing upon the type of care needed.

5-3 RESULTS

The volume of information and referral services provided will become available with the Social Service Reporting Requirements for Quarter IV of FY 76.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies for child day care are established at the State level by the appropriate designated administering agency officials. DPA is responsible for Title IV-C (WIN) and Title XX overall eligibility criteria.

Criteria are published in social service manuals. There is one Central Eligibility Determination Center (in Springfield) for all Title XX services. At this center, income maintenance and income eligibility is determined. DPA and DCFS each determine their own clients' need for the service, i.e., service eligibility. Need for service is established at the county level for DPA service provision, and centrally in Springfield, with recommendations from area offices and providers for DCFS. DCFS area offices also establish need and eligibility for non-Title XX day care service expenditures from their separate and individual "Purchase of Day Care Funds." These services are usually provided for protective reasons and not as financial subsidy.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC
- SSI
- Income Eligibles
  Provided for a fee to individuals whose gross annual income does not exceed 80% of the State's median income ($12,120 for a family of four), according to a weekly fee schedule. Flat payment schedule regardless of number of children. Free up to approximately 55% of State's median income.
- Special Cases (physical or mental incapacitation, protective services, child needs)

Revisions Since the Passage of Title XX: Basically the same, except redefinition of income eligibles from what was "former and potential."

Materials to Ensure Uniform Interpretations: Eligibility policies are established at the State level. Policy and regulation guidelines have been produced to standardize interpretation. A standardized application form for Title XX services is used by all participating agencies. Uniform interpretation is assured through the use of a central Title XX Eligibility Determination Center.

6-3 PROCESS AND VOLUME

Applications: The application processes for day care services are different in DCFS and DPA. In DPA, county income maintenance and intake staff have responsibility for making appropriate referrals to the social service unit when a client requests a service, or when the case manager recognizes a need for the service. The social service caseworker has responsibility for determining need for service according to guidelines established in the Social Service Manual. The service worker, in cooperation with the client, develops a service plan to meet the needs of the client or family members. Day care services may be provided to meet employment, training, education, or rehabilitation needs. In certain instances day care may be provided when necessary to meet other than employment-related needs, with prior approval by the regional office (DPA) according to specific criteria. The Title XX application form is completed by the caseworker and client and sent to the Title XX Eligibility Determination Center.

In DCFS, application for day care services may be initiated either by area office service workers or providers. Title XX application forms are completed by providers and sent to the Eligibility Center with supporting documentation. For "special cases," a letter describing the situation must be sent directly to the central office in Springfield at the time the application is mailed to DPA.

The Eligibility Center receives approximately 1,100 applications per day for all social services. Twenty workers are available to process applications. Incoming applications are given a control number and computer-screened to determine public assistance status. The average time per application is 9 minutes, as 65% of the applications have AFDC status and require no further processing. A breakdown for number of day care applications is not available since the applications refer to income eligibility and therefore do not specify the services for which the client is applying.

Eligibility Determination and Verification: At the Title XX Eligibility Determination Center, applications are routinely checked for public assistance status, and income level is verified. Any supporting documentation must be sent with the application.

For DPA services, once eligibility is established, depending upon the delivery mode (in-grant, voucher payment), either the center is notified or the in-grant mechanism is activated. The in-grant mechanism consists of an addition to the income maintenance check for child care. Social service funds are used to provide these services (see 10-4).

For DCFS services, after DPA's Determination Center has established Title XX eligibility, DCFS must make a determination of day care eligibility and compute fees where indicated. Day care eligibility criteria include: 1) employment/training related needs, 2) income guidelines established for day care eligibility in the State Plan, or 3) special cases consisting of physical or mental incapacitation of the parent, protective reasons, or child's needs.

DCFS cannot pay for a child's day care if the family income exceeds the guidelines (this also applies to "special cases"). However, these families may be served through the appropriate area office's "Purchase of Day Care Funds." These funds are available for protective reasons and to keep families intact. When purchase of day care funds are used, the center does not complete a Title XX application form. Eligibility determination and billing are done through the local area offices of DCFS.

The time lapse between application and Eligibility Center Determination is approximately 11 days. (The goal is a 4-5 day turnaround.)

Quality Control: All AFDC clients are required to report any change of status or earnings. Income eligibles are also required to update their income information as often as substantial changes take place in their income situation. Procedures regulating quality control mechanisms are established at two or three points in the eligibility process, including required supporting documentation for income.

Redetermination of Eligibility: Eligibility is redetermined every six months. When a client is found to be ineligible for services, notice of discontinuance is forwarded to the day care center. The child is allowed to continue in the day care services until the end of the month, at which time the reimbursement for the services is discontinued.

Appeals: There is a standardized appeals process. There were eight service appeals last year.

6-4 PARENT FEES

Day care is provided for a fee to individuals whose annual gross family income does not exceed 80% of the State median, adjusted for family size, and for free up to approximately 55% of the median income. All income eligibles are served by DCFS, except income eligibles who are recipients of General Assistance in the City of Chicago; they are served by DPA. Families are charged a flat weekly fee, regardless of number of children served. Rates vary for homes, full-day center, and half-day center, from $.50 to $11.00/week.

For day care centers under contractual agreement with DCFS/OCD, parents directly pay providers their portion of the cost of care. Providers bill DCFS for the difference. In area office purchase of care arrangements, the Parental Determination Unit of DCFS bills parents directly and providers are reimbursed based on the pre-established rate.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: Under mandate of the Illinois Child Care Act of 1969, the Department of Children and Family Services is charged with the responsibility of developing and enforcing standards for licensing day care centers, night care centers, and day care homes. The Licensing Division of the Office of Child Development is charged with this responsibility.

Licenses are required for day care centers and day care homes and are based on direct observation by licensing workers from the Office of Child Development of DCFS. Health, fire, sanitation and building inspections are required as part of the licensing procedure for day and night care centers. Similar inspections are the responsibility of the Licensing Specialist in licensing day care homes.

Staffing: There are 72 full-time Licensing Specialists assigned to day care licensing in Illinois; 34 for day care centers and 38 for day care homes. These persons are outposted in 14 area offices, although all are State employees.

The Lounsbury Study (described in Evaluation section) identified the performance of the licensing function and the technical assistance function by the same staff person as a source of confusion. Now, Community Development Specialists have responsibility for the technical assistance function.

A bachelor's degree with an academic record acceptable for admission to an accredited graduate school is required of the day care licensing representative trainee. Standards of performance for licensing representatives have been developed for each level. Specific tasks with qualitative and quantitative expectations for the accomplishment of each task are included in the standards. A written test for trainees is being developed by the Personnel Bureau to test licensing representatives on licensing laws for each facility type.

Current licensing caseload is 114.7 per full-time equivalent (FTE) staff member.

7-2 STANDARDS

Standards Development Process: Standards for licensing day care centers and night time centers were revised and re-issued September 1, 1971. The revisions were developed by the

Advisory Committee on Standards for Day Care Centers, and incorporate changes necessitated by the passage of the Child Care Act of 1969 as well as administrative experience to that date.

In 1973, DCFS/OCD received a grant from the Office of Child Development to fund a licensing standards revision process. A statewide 50-member committee worked for two years on standards revision. The result was proposed changes which have been approved since the site visit and are awaiting implementation.

Content of Standards (1971):

Staff-Child Ratios

Centers: (more than 8 children)	Ages	Ratios
	Under 2 years	1:6
	2 years	1:8
	3 years	1:10
	4 years	1:10
	5 years or older	1:25
	• mixed ages between 3 & 6 years	1:10
	• mixed ages between 2 & 6 years	2:15
	• minimum of 2 staff for more than 10 children under 4, or mixed between 2 & 6	
	• no more than 6-2 year olds or 9-3 year olds in a group	

Family Day Care Homes:
(fewer than 8 children)

No more than 4 children under 6 without assistant
Four or more with 2 handicapped requires assistant
No more than 8 including related child under 18

- assistant must be at least 16 years old, 14 if school is not in session

Additional Components of Standards (1971):

Centers:

- Organization and Administration
- Personnel
- Services to Children
  - Program
  - Health and Medical Care
  - Food and Nutrition
  - Transportation
  - Grouping and Staffing
  - Discipline
- Plant and Equipment
- Records and Reports

Day Care Homes:

- Home Environment and Family
  - Home Conditions
  - Other Businesses on the Premises
  - Personal Characteristics of Family
  - Health of Family
- Services to Children
  - Number of Children Served
  - Child Care Assistants
  - Planned Activities
  - Medical Exams, Records, Care
  - Training and Discipline
  - Emergency Care
  - Records

Comparison of Standards with FIDCR: State regulations are similar to the FIDCR with the exception of staff-child ratios. Current standards are more comprehensive in the areas related to safeguarding children, but lack components regarding services, programming, and adequate staff qualifications. It should be noted that personnel in the Licensing Division indicated that comparison of State licensing requirements with FIDCR is difficult because the nature is basically different, i.e., licensing requirements represent minimum standards for safeguarding all children, whereas Federal standards have other purposes, such as parent involvement, etc.

New State licensing standards are about to be implemented, and these will result in upgrading day care programs. The new staff-child ratios for centers are as follows:

Infants	1:4
Toddlers	1:5
2-5	1:8
3-5	1:10
Kindergartners	1:20
School age	1:20

There are no standards for in-home care.

Of the licensed centers, 225 have been assessed as to the level of compliance with FIDCR. These are the centers from which DCFS purchases slots. This assessment is part of the overall center evaluation process conducted by the evaluation unit of OCD (Described under Evaluation). A FIDCR checklist is one of the instruments used by the evaluator during a 2-day evaluation period.

Homes and centers providing services through DCFS area offices are not evaluated and assessed.

Centers used for purchase of care by DPA are not certified; however, the contract places responsibility for meeting Federal and State standards with the vendor. Thus, this becomes a fiscal monitoring responsibility.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #*	# Sanctioned	% Disq.	Planned	Actual
Public Centers	License	-	-	-	2 years	2 years
Private Centers	License	2,218	98%	-	2 years	2 years
Group Day Care Homes	None by definition		-	-	-	-
Family Day Care Homes	License	6,065	30-35%	10-20%	2 years	2 years
Relative DCH's	None	-	-	-	-	-
In-Home	None	-	-	-	-	-

*As of December 30, 1975.

Fees for Licenses: No fees are charged for licensing by the State.

Municipal licenses:

Chicago	$55.00
E. St. Louis	50.00
Rockford (day care homes only)	25.00
Danville	10.00

Content of License: The day care center license includes the following information:

1. Name of child care facility
2. Responsible person or organization
3. Type of care provided
4. Capacity of center
5. Area used for children
6. Age of children being served
7. Supervising welfare agency
8. Effective date
9. Official signature

Licenses are computer-printed in Springfield and automatically sent out after appropriate input from the licensing representative and team leader following inspection. Above data is stored in the computer file. Narrative reports are maintained at area offices.

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study of a day care center covers:

1. Organization and Administration
2. Personnel
3. Services to children
4. Plant and equipment
5. Records and reports

The standards contain two types of references: (1) Required standards—those which are required as a minimum for every center, (2) Recommended standards—which appear in the form of explanations and elaborations of the minimum standards and encourage more than the minimum.

Extent and Nature of Process: Illinois child care legislation is written in an enabling mode. Day care services as defined in the law are prohibited to operate without a license. No hard estimates of unlicensed family day care homes in the State were available.

The licensing process is initiated by an inquiry from the potential licensee to DCFS regarding the standards. Inquirers are asked to come to a monthly group meeting held by the Licensing Division of DCFS, one each for potential family day care home licensees and potential center licensees. Licensing information is disseminated during the meeting, with appropriate instructions and referrals. Technical assistance is provided where necessary by the technical assistance staff. When the operator has completed necessary forms and inspections are complete, a licensing representative makes a final visit, and recommends licensure. The total number of visits during the licensing process is approximately 2-3, but may vary.

Conditional Licenses: All initial center licenses are six month provisionals, which allow a center to begin operation prior to the time of full compliance. No temporary licenses are issued to homes, although a 2-month provisional has been proposed.

Revocations: The DCFS has statutory authority to revoke or refuse to renew the license of any child care facility.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Monitoring accomplished for different purposes is the responsibility of different agencies and units within. DPA, as the designated agency for Title XX, has the responsibility of monitoring all Title XX day care services, including homes and centers providing care to DPA clients as well as DCFS as a contractor, and DCFS' subcontractors. Monitoring staff within the DPA Bureau of Social Services perform this function. Within DCFS-OCD, the Licensing Division has responsibility for monitoring State requirements for licensed day care centers and homes, and the Technical Assistance unit has responsibility for monitoring contracted center activities—both programmatic and fiscal.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	DCFS-OCD lic. reps DCFS Evaluation Unit	100% 100%		100%	1-2/year yearly	2-3 hours
Private Centers	DPA-BSS in cooperation with DCFS	-	Undetermined		(monthly contracted centers Undeter.	1-2 days -
Group Day Care Homes	DCFS lic. reps	80%			1-2/year	2-3 hours
Family Day Care Homes	DPA-BSS		Undetermined		Undetermined	-
In-Home	None					

8-3 PROCESS

Areas covered in the monitoring processes are as follows:

- DPA monitoring—all fiscal and administrative requirements, reasonableness of cost, and compliance with Title XX requirements
- OCD Licensing Representatives—all State licensing standards (unannounced visits 1-2 times per year)
- OCD Evaluation Unit—compliance with Federal standards, accounting procedures, etc.

Monitoring is performed in conjunction with internal auditors in DCFS. Audits of CPA firms, required by DCFS for all of their subcontractors, are also utilized in the monitoring process.

8-4 RESULTS

Quantitative results of monitoring efforts are not yet available.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Training and technical assistance takes a variety of forms in Illinois. Both DPA and DCFS have staff development units responsible for in-house personnel training TA. In addition, both agencies have requested specific technical assistance from private groups.

Local: State staff provide necessary training to area office personnel from both DPA and DCFS.

Providers: The Child Care Act of 1969 (amended through November 1973) charges DCFS with the responsibility for assisting providers in maintaining the standards under which they were licensed. The Office of Child Development provides program and fiscal technical assistance to providers to meet this charge through a staff of Community Development Specialists.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
DCFS-OCD Licensing Representatives	Norris Class (Consultant)	Five 1-day workshops Topics: Licensing (concept) St Standards (concept) Licensing Process Licensing Consultation Enforcement	five 1-day workshops
OCD Technical Assistance Unit	Eriksen Institute	Tailor-made sessions regarding resources, phases of human development, educational component of day care, etc.	Unknown

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Day Care Center Operators	OCD-Technical Assistance Unit	Visits to State funded centers to provide TA re eligibility, refunding, bookkeeping procedures, etc.	Monthly

9-3 PROCESS

Identification of Needs: Staff needs for training and technical assistance in both DPA and DCFS are identified both internally (by supervisors, changes in procedures which require TA, etc.) and by outside sources, such as the Lounsbury licensing unit evaluation.

Provider needs are identified during the licensing, monitoring, or evaluation process, and also in direct requests for assistance from providers.

Methods Used: Training and technical assistance for staff in DCFS-OCD has recently been expanded, as one of the FY 76 goals set by the Department. There are currently two main efforts: 1) staff development workshops for licensing representatives being conducted by a consultant—Norris Class, and 2) training sessions for OCD technical assistants being specially developed by the Eriksen Institute. Further training/TA needs will [illegible] identified from both these sessions.

DPA has developed a State Plan for the use of training funds, to comply with Title XX regulations. Further details, including individual agency training plans and the use of donated funds for training, are still being considered; however, this has not been accomplished to date. Current outside technical assistance being provided to DPA includes a contract with a consulting firm (Seneca) to assist in development of the management information system described in another section. Two consultants from central SRS also recently provided technical assistance regarding the Social Service Reporting Requirements (SSRR) component of the system.

No training is done for providers on a statewide basis. Comprehensive technical assistance is provided by DCFS-OCD, primarily to State-funded centers, on a regular basis (monthly). There are a total of eight TA staff members, two in Springfield and six in Chicago. Each covers a specific geographic territory. Responsibilities include advocacy, fiscal management assistance, follow-up on evaluation, and input regarding program content.

DCFS-OCD has also sponsored two statewide meetings with junior colleagues to ensure that child development courses are available in the State.

9-4 RESULTS

Separation of licensing from technical assistance has allowed more specialization in both tasks. There is general agreement within the Department that this separation, together with training, has resulted in an improved service delivery capability.

Standardization of accounting procedures among State-funded centers has resulted in increased financial stability. This has been possible through the efforts of the technical assistance staff.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure and Function: The Department of Public Aid (DPA) and the Department of Children and Family Services (DCFS) have separate fiscal management units. Both submit budgets to the Legislature, with appropriate funds to be utilized by the Department. DCFS certifies Title XX expenditures for day care to DPA. This procedure is formalized through a purchase of service contract. These funds are used by each agency to provide day care services, in addition to the separate allocations for WIN (DPA).

Within DPA, day care services are delivered in two ways: 1) services in day care centers are purchased from providers by the Bureau of Social Services by the vouchering process, or 2) payment for family day care and in-home care is added to the recipient's income maintenance grant, separately identified as a special social service need. The Fiscal Control and Monitoring Unit of the Bureau of Social Services and the Bureau of Fiscal Operations within the Division of Financial Management are involved in these processes.

DCFS provides day care services through purchase contracts with 225 centers. A State OCD fiscal unit is responsible for processing reimbursement claims, etc. In addition to purchased slots, area offices have allocations to purchase care on an individual basis, in family day care homes and in centers.

10-2 FISCAL MATERIALS

DPA issues all voucher forms and procedures to providers.

DCFS gives utilized providers comprehensive samples of ledger accounts, information for internal audit, etc.

10-3 INCOME SOURCES

Source	FY 75	FY 76
Title XX/IV-A	DPA- 15,420,000 DCFS-25,634,784	DPA- 18,508,000 DCFS-26,202,148
WIN	DPA-1,000,000	DPA 950,000
CWS	DCFS- 0	DCFS- 0
Unmatched State Funds		
Other		
TOTAL	DPA 16,420,000 DCFS-25,748,477	DPA- 18,458,000 DCFS-26,438,577

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 75 Expenditures
Purchase of Service (contracted)	DPA- None DCFS-25,331,707
Vendor Payments	DPA- 1,378,000 DCFS- 416,770
Direct Provision/Operation	None
Client Purchase, with social service funds	DPA-14,042,000 DCFS- None
Client Purchase, with income maintenance funds	DPA-None
TOTAL	DPA- 15,420,000 DCFS-25,748,477

Description of Funding Methods/Processes:

A. Purchase of Service

DPA purchases some services directly from centers. A brief day care services contract is negotiated with the provider and monitored by the Fiscal Control unit of the Bureau of Social Services in the areas of reasonableness of cost and compliance requirements. Centers send bills to county offices where approval is made. Bills are then sent to the Voucher Payment unit in the Bureau of Fiscal Management in Springfield, where manual payments are made.

DPA also purchases Title XX services from DCFS through the certification process. The DPA Bureau of Social Services is responsible for monitoring the contracted services.

DCFS subcontracts with 4-C groups, Model Cities, and other local community groups for day care slots. Administrative costs are allowable for the DCFS subcontract and their subcontractors. These centers complete monthly enrollment reports and forward vouchers to DCFS for payment.

DCFS also has day care funds allocated by area office to purchase care for individual children as part of an overall care plan. Payment is made by the central DCFS fiscal unit to the facility on an individual child basis.

Provider Type	Contracts		Expenditures
	Written?	Comprehensiveness	
Centers	DPA-Yes DCFS-Yes	DPA-limited DCFS-comprehension	DPA 1,378,000 DCFS-25,623,446
Family Day Care	DPA-No DCFS-Yes		DCFS- 125,031[a] DPA-15,042,000
In-home Care	None	None	
Other			

[a] Estimate based on 30% of purchase of care expenditures to family day care homes.

B. Direct Provision: None

C. Client Payment:

Payment to clients is at times used by DPA for both WIN child care and Title XX child care. This procedure is called the in-grant mechanism. If the client chooses this method, a form goes out to the client indicating how much of the grant has been allocated for child care. Clients must present receipts to continue eligibility for this form of service. The instructions to the caseworker are that facilities should be licensed, and follow-up procedures are being developed to ensure care is provided in only licensed facilities.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Centers—full day—more than 5 hours;
part day—less than 5 hours
Homes and In-home Care—monthly basis; hourly for any period less than 8 hours daily for any period more than a full day but less than a full month (22 days)

Provider Type	Rates		
	Basis	Maximum	Range
Centers	Maximum rate based on cost study --applicable to both DCFS & DPA --according to Region[ab]	$5.50 6.50	Infant-$8.50/day[c] $3.50-$7.50 full day $1.50-$3.75 part day
Family Day Care Homes	Family day care is not purchased directly by DPA but is available for clients to purchase with funds allocated to them specifically for that purpose	$70/mo $3.25/day .40/hour	
In-home	In-home care is not purchased directly by the agencies, but is available for DPA clients to purchase with funds allocated to them specifically for that purpose	$60/mo $2.80/day .35/hour	

[a] Region based on pre-determined housing cost—
3 areas established--Area 1 - $7.50 Metropolitan Chicago and several other counties
2 - $6.50 Illinois counties with lower housing costs
3 - $5.50 rural Illinois (lowest housing costs)

[b] Payment to centers is based on the center's customary charge, not to exceed the maximum established rate.

[c] Payment of $8.50 rate for infants is approved only by DCFS in licensed infant day care centers.

Model Cities reimbursement rates are higher. DCFS subcontracts with Model Cities in Chicago. The range is $8.50-$16.00/day. This range is justified by consultant services (psychologist, Chicago Board of Health Medical Services) and high staffing levels. (An audit of these payments is currently being conducted.)

10-6 IN-HOME CARE

In-home care is not purchased directly by the agencies, but is available for DPA clients to purchase with funds allocated to them specifically for that purpose.

10-7 INCOME ELIGIBLES AND PARENT FEES

(See Section 6-4)

10-8 DONATIONS

DPA uses all State money to match. DCFS accepts donations, which are primarily Model Cities funds.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: Indiana's organizational structure is a combination of State-administered and State-supervised, County-administered systems. Title XX purchased services are State-administered; county delivered services and income maintenance funds are county-administered.

Description of Administrative Structure: The Department of Public Welfare is the designated State social service agency. It is not an umbrella agency. The Administrator of Public Welfare is supported by three assistants with responsibility for Administration, Programs, and Medicaid. Responsibility for child care services is delegated to the Assistant Administrator-Programs, and within this area to the Division of Social Services and the Division of Public Assistance. The latter is responsible for supervision of the Title IV-C (WIN) program, which is county administered.

The Division of Social Services has been reorganized during the past year to include two sections: a Child Welfare section and a new Title XX section, planned specifically for Title XX implementation. The Title XX section is divided into four units: Program Development; Provider Enrollment; Field Services and Claims Processing. The Section has been granted an unusual degree of autonomy from other units of the Department of Public Welfare for handling most phases of Title XX activities. This includes responsibility for planning, program development, information and referral, eligibility determination, monitoring, training/technical assistance, and claims processing. Since the bulk of Title XX purchase of service is currently for day care, it is the main focus of the section.

The role of day care licensing has been retained by the other section of the Division of Social Services - the Child Welfare Section. The licensing unit within this section has responsibility for licensing all day care centers and for providing related technical assistance, and for supervising family day care licensing activities of county workers.

There are no regional offices.

County welfare departments have responsibility for verifying eligibility, providing information and referral, for assessing local service needs, for completing reporting requirements, and for doing licensing studies for family day care homes.

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The Indiana site visit was conducted in March, 1976. Interviews were held with staff members at the State agency and in Marion and Delaware counties.

County welfare departments historically had been delegated responsibility to administer public welfare at the local level. However, with the recent organizational changes, responsibility for almost all aspects of Title XX has been concentrated within the State Division of Social Services. Income maintenance and county delivered services are still county administered.

There is not an active day care advisory group for the State DPW. There are plans to appoint a Citizens Advisory Committee for all Title services.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 75	FY 76
Total Social Services Funds (Titles IV-A/XX)	8,825,547	40,700,000
Total Child Care Funds (Titles IV-A/XX)	2,600,000	6,201,055
Percentage of Total Social Services Funds Allocated to Child Care	30%	15%

The above figures refer to Title IV-A and Title XX Federal plus matching funds spent in FY 1975 and those projected for FY 1976 in the Indiana Comprehensive Annual Services Program Plan (CASP). The FY 76 funds are prorated to a 12-month figure from a 21-month program year base in the CASP. The figures cover regular child day care services plus bilingual child care in FY 76 ($228,000 of the total). There is a discrepancy between the FY 76 figure shown in this chart and the charts under section 1-3 and 10-3. The higher figure was retained in the above chart because no other estimate is available for total social service funds under Title XX. It best illustrates the final ratio which will result from an expected reduction in both FY 76 figures. The lower FY 76 child care figure in chart 1-3 ($4,400,000) represents the estimate of State personnel in March 1976 based upon an expected reduction in overall funds available but a planned increase over the existing expenditure rate. The lowest figure in chart 10-3 ($2,649,114) represents a projection through the rest of the fiscal year of expenditures based on the rate during the first seven months and will probably be closest to the actual amount of funds expended.

The only other significant allocation of resources for child day care, in addition to Title XX, is IV-C (WIN) funds. WIN-supported child care amounted to $480,723 in FY 1975 and is estimated at $300,000 for FY 1976. ($159,575 of the FY 75 funds was actually paid from 75/25 monies because of inadequate WIN funding at 90/10). Whereas Title XX funds are used for purchase of services from day care centers, Title IV-C funds are used for services from family day care homes and in-home care.

There is no realistic estimate available for either the FTE or percentage of State or county employees involved in child day care in Indiana.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Provider	Number FFP Children (Per year)	Actual Expenditures FY 75	Anticipated Expenditures FY 76
Public Centers	-0-	-0-	-0-	-0-
Private Centers	277*	2,410	2,600,000	4,400,000
Group Day Care Homes			480,723**	300,000*
Family Day Care Homes	1,040*	306**		
In-Home Care		1,968**		
Total	1,317*	4,684	3,080,723	4,700,000

* Includes all licensed, approved or otherwise sanctioned providers in March 1976. As of the end of April the number of private centers had increased to 301. Of the licensed private centers, only 83 are presently utilized for Title XX-supported day care.

** Since Title XX funds for day care are used at present only for purchase of services from private centers, all figures for the other categories are for Title IV-C supported activities.

1-4 INFORMATION SYSTEMS

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	YES	FAMILY	LOCAL
Standardized Social Service Forms	YES	FAMILY	STATE, LOCAL
Computerized Records	NO - Planned by January 1977		

Narrative case records are uniform throughout the State, as are the Service Plan and Social Service Application. These forms were revised in 1975 for Title XX implementation.

Extent of Data: The Application for Social Services form currently in use includes the following information:

- Primary recipient/service recipient
- Definition of client's service need
- Service delivery date
- Income sources
- Current benefits, if any
- Eligibility category

Data Aggregation: Counties and providers aggregate programmatic data from the services plan forms and send a quarterly summary to the State DPW, Division of Social Services, Title XX section. Fiscal data is aggregated at the State, by the Division of Social Services. The State hoped to implement a computerized information system which will be complete by January 1977. This may be delayed due to a reduction in available State funds. Most counties manually generate reports. Marion County currently has a computer system for AFDC, Food Stamps, and Medicaid which may be adapted for Title XX, but other smaller counties will probably retain manual systems.

The Social Service Reporting Requirement is initially completed by the Title XX section of the Division of Social Services from information available at the State and provided by counties. The Research and Statistical section of the Division of Administrative Services has final responsibility for the reports. All forms have been designed to satisfy HEW-Title XX requirements, and therefore reporting problems are not expected once conversion from IV-A is complete and the Title XX system is totally implemented.

1-5 STATUTES

Other than State day care licensing standards, day care facilities must meet State Board of Health requirements, State Fire Marshal requirements, local zoning requirements, and Administrative Building Council review (if the structure is new or extensively remodeled). Facilities in Marion County may also request a license from the Health and Hospital Corporation. There are no other statutes or ordinances governing child care facilities or management.

The enabling legislation mandating the State of Indiana to develop and implement a social service program in accordance with Title XX guidelines in Public Law 120, Acts of 1975. This legislation also established a special $5,000,000 contingency fund for FY 76 to be used as needed to meet program and administrative expenditures and appropriations to State agencies participating in Title XX.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The following problems/strengths were identified during discussions with State and county agency personnel. It should be noted that these statements, as are the majority of the other information presented in this summary report, are self reports provided by the individuals interviewed. They are not the product of an evaluation or are they judgments made by Unco, Inc. or the regional office.

- Licensure - Currently, day care facilities which are primarily "educational" and half-day programs are exempted from licensure. These two entities should be subject to the same standards, including mandatory licensing, that are in force for other day care providers.

- Funding/Resource Allocation - There is insufficient provision of matching funds from the Indiana legislature, causing under-utilization of available funds for the overall Title XX program. Day care has fared better than the other programs but projected expansion may be curtailed and the new administrative system, including detailed record keeping and cost control mechanism, may become impractical if the proposed overall Title XX program is not implemented.

- FIDCR Standards - FIDCR staff ratios are driving up the cost of day care, resulting in: (a) increased cost for all children in centers where Federally subsidized children are enrolled, (b) increased cost of care in the State without increasing the number of children served, (c) decreased number of provider resources, especially in rural areas, and (d) artificial separation of welfare clients into Federally subsidized centers and private clients into centers which cannot meet FIDCR staff ratio requirements.

- Systems Design/Implementation - A complete redesign of the existing system to conform with FIDCR requirements made possible a rapid conversion from Title IV-A to Title XX. The new design includes a change from county administration to State administration of services, which was based upon the joint findings of a Title XX Implementation Task Force and State policy-makers. The new system is gradually being implemented on a component basis. The contract management and statistical reporting modules were implemented first. It includes a detailed costing procedure by line item budgeting for day care centers which provides excellent cost control, and also an effective vouchering system with built-in controls to make certain services are provided and paid only in accordance with approved social service plans.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus or Responsibility: Following passage of the Title XX Amendment, the Governor of Indiana appointed a special Policy Committee for Title XX consisting of the Administrator of Public Welfare, an Executive Assistant to the Governor and the State Budget Director. The State Department of Public Welfare was designated as the single Title XX Agency by Public Law 120 of 1975 and a special task force within the Department was formed to assess the needs for and plan a new Title XX program. The task force reported to the Policy Committee.

Staffing: The Task Force consisted of 22 full-time staff to conduct an estimated 7 man-year effort. It drew on county departments of public welfare to cover local areas. In addition, a new section within the Social Services Division of the Department of Public Welfare was created to administer all aspects of Title XX.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	1	Records of services furnished under IV-A and IV-C programs were consulted.
Agency Personnel	2	County Welfare Directors furnished the primary input assessment of exising and projected needs in each of their counties
Community Agencies	0	
Service Providers	1	Some consultation with providers by county caseworkers in assessing needs but no systematic aggregation.
Consumers	1	Marginal consultation by CDPW caseworkers; public meetings.
General Public	1	Public meetings were held in four regional cities to discuss the proposed Annual Services Plan for all Title XX activities before its formal approval. This included consideration of day care, among others.

Key: 0 = not needed; 1 = some use; 2 = extensive use

Social service needs were assessed for the FY 76 Comprehensive Annual Services Plan by the Indiana Department of Public Welfare, using data requested from county officials, the public, and other sources. Specifically, County Welfare Directors were requested to furnish information regarding service availability, projected needs, and priorities based upon available statistical and case-file data. In addition, Directors from 20 of the most populous counties were asked to supply specific data on needs and recommendations for information and referral systems. Other State agencies were invited to submit written proposals to the Title XX project staff, suggesting service delivery alternatives based upon their experience and available information. Title XX staff conducted special needs surveys regarding service utilization; citizen input was solicited at public hearings, and demographic data was reviewed.

2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated in Relation to:

- Client type
- County
- Service objective
- Cost per client group per county

Degree of Integration Into the Planning Process: The needs assessment data was included in the Comprehensive Annual Services Plan. A numerical listing of parents and children to be served was presented for each county, divided into categories of eligibility and estimated costs of service for each category in the county. The resulting cost figures were then incorporated into overall budget requests to the State for matching funds. The listing of target recipients per county was also used as a reference for judging need in a given area in approving provider applications. One separate category of need was highlighted: bilingual day care. Separate estimates, listings and costing were prepared for this category.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

Ongoing Planning: There was no ongoing planning prior to Title XX, except at the county level; nor is any planning other than for Title XX projected.

Title XX Planning: Two FTE staff in the Program Development unit of the Title XX section within the Division of Social Services will have responsibility for Title XX planning. The FY 76 and FY 77 plans were developed by a Task Force created for Title XX implementation. The Task Force included four teams: 1) Provider Training and Enrollment; 2) SDPW Procedures, 3) CDPW Procedures; and 4) Fiscal and Statistical. This Task Force has been phased out as functions were assumed by permanent staff members.

Staffing: The Task Force described above consisted of 22 persons with an initial projection of 84 person months of work over a four to five month calendar period for the initial planning period. This was extended as personnel and functions became merged with the Title XX Section staff and the CASP was revised as a result of reduction in the availability of State funds. Two FTE staff will have primary responsibility for planning in the future. All figures are for all aspects of Title XX programs, including but not limited to day care. No relevant figures can be presented for day care alone.

3-2 PLANNING PROCESS

The Title XX Plan was developed following assessment of needs from the sources indicated in the previous section. County welfare departments and other State agencies were asked to identify and prioritize needs. This information was compiled by the Title XX Task Force. Criteria for review of needs were established by the Governor's Policy Committee described in Section 2-1. Major criteria included: 1) identified needs, 2) measurable impact, 3) availability of budgetary and other resources and 4) priorities. The Task Force identified a set of services according to these criteria and submitted the proposal to the Policy Committee. The Policy Committee had final review authority for the Plan. Resources were allocated to counties based on the needs assessment, review process, AFDC population and numbers of inhabitants below the poverty level. The draft plan was then presented at four public meetings in cities chosen to provide appropriate regional settings. After changes to incorporate modifications derived from the meetings, the Plan was approved by the Policy Committee for certification by the Governor.

In the future (after FY 77) the Program Development Unit within the Title XX section will base plans on an ongoing needs assessment which will include:

- Ongoing collection, aggregation, and assessment of recipient needs and service information from County Welfare Departments and other State agencies
- Review of plans of other State agencies with relevant client groups
- Review of ISDPW administration of Social Security Act Titles IV-A, IV-B, XVI, and XIX
- Input from a Citizen Advisory Committee (to be appointed)
- Input from private agencies, groups and individuals.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison*
Total Number to be Served	Yes	Yes	Total - 4,050	More
Population Categories to be Served	Yes	No	AFDC - 3,640 Income Eligible - 410	More
Priority Population Categories	No	No	--	--
Service Provider Types	No	No	--	--
Special Provider Attributes	Yes	Yes	Bi-lingual day care for 353 children	
Geographic Areas	Yes	Yes	Statewide services quanti--fied by county	More
Dollars Allocated for Child Care Service	Yes	Yes	$6,201,055 (12 mo.) 10,851,847* (21 mo).	More

* Allocated in the CASP.

Planned Organizational Changes: The State Department of Public Welfare has implemented organizational changes which facilitate Title XX administrative requirements. The Title XX section of the Division of Social Services is now composed of four units: 1) Claims Processing-Purchase of Service; 2) Provider Enrollment; 3) Program Development; and 4) Field Services. Changes in function and responsibility are still being considered as requirements for the system continue to surface and the extent of State funds available becomes clear.

3-4 UTILIZATION/IMPLEMENTATION

Comprehensive Annual Services Plan: All proposed services are not yet available to all recipients. Resource availability, system conversion and legislative budget cuts may necessitate changes in planned services.

4. EVALUATION

No evaluations pertaining to child care have been conducted within the past three years.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES

It has been proposed that the Program Development Unit of the Division of Social Services have responsibility for developing a statewide resource file containing information on services and service providers in the State. The file would be based on information collected by County Welfare Departments as local resource files were developed.

There is currently no resource file or systematized method for information and referral. Most I&R is handled by county departments.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Centers	Yes	Annual	x	x	x	x
Homes	varies by county					
In-Home	varies by county					

Information for centers is available from the Provider Enrollment unit of the Division of Social Services. Names and addresses of centers having contracts with the State are available from county welfare departments.

There is no standard method for keeping information on homes or in-home providers among counties.

Disseminating Information: Licensed provider lists are available for all counties where licensed day care centers exist. Most information is disseminated by individual caseworkers. The State Department of Public Welfare has information on licensed centers; more specific records are kept on the centers with which purchase of service contracts are held. Provider information is also available from County Welfare Departments on a more limited basis.

There is no outreach. Information is provided as requests are received.

Assessing Client Need/Referral and Follow-up: The service application form is the principal means of assessing client needs; completed at the day care center or in some cases by a county eligibility worker, it specifies the type of service which meets the applicant's needs. County workers refer the clients to the appropriate facilities and make follow-up inquiries as needed.

5-3 RESULTS

The specific number of requests for information is not available. Information and Referral Request Logs have recently been designed; therefore, more specific information will be available at the end of the next quarter (June, 1976).

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Policies regarding client eligibility for services are established at the State level for Title XX services, and are uniformly implemented across the State, as services are available. Individual client eligibility forms are completed at the provider facility or County Welfare Department. However, final responsibility for determination of eligibility for clients requiring services which are to be directly delivered through the County Welfare Department and for AFDC recipients requesting purchased services through the county rests with the County Department of Public Welfare.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC
- AFDC-WIN
- Income eligibles
  - up to 50% of the State median income ($7,002 for a family of four)

All eligible persons receive services free.

Revisions Since the Passage of Title XX: Income eligibles were not previously served.

Materials to Ensure Uniform Interpretations: Explicit and standardized guidelines and procedures (County Administrative Procedures Manual) are available to all County Welfare Departments and a Purchase of Social Services Manual is furnished to contracted providers for eligibility determination. Standardized forms include: 1) application for social services, 2) service plan for social service recipients, and 3) checklist for required verification. Criteria and a detailed explanation is provided for each entry on these forms.

Population priorities: None specified.

6-3 PROCESS AND VOLUME

Applications: A standardized application for services is used statewide. The form includes:

- Personal data (income, residence, marital status, family size)
- Service need
- Identification of service provider
- Eligibility status

Application forms may be obtained from providers or from the County DPW. Applicants either apply for eligibility directly through providers from whom they desire to receive services, or have their eligibility and service need determined by the CDPW, which then refers the client to an authorized provider.

Eligibility Determination and Verification: For individuals applying for services directly through providers the standardized application forms are initially screened by providers, and submitted together with the service plan for County Welfare Department screening. The County forwards a copy of the Service Plan to the State DPW, which reviews it to determine the provider's authorization to provide the desired services and also reviews the central recipient data file to insure that the same recipient is not receiving duplicate purchased services.

Applicants applying to the County Welfare Department or to authorized providers are subject to the following procedures:

- Applicant requests services and completes a written application
- A gross income verification is performed for non-welfare recipients
- The applicant's service needs are evaluated by a caseworker or other trained personnel; if a need exists, a Service Plan, specifying the services to be provided, is completed
- Income redetermination is completed every six months

Administrative regulations require that eligibility be determined within thirty days of receipt of an application. There have been no problems in meeting this requirement.

Quality Control: Uniformity in the information submitted to determine eligibility is assured through the use of statewide forms with detailed explanations as to the criteria to be applied to each entry. Supporting documentation is required for income eligible cases. Income for non-welfare recipients and registration of AFDC recipients is verified at the county level. The existence of a current eligibility acceptance is built into the voucher approval each month by the Claims Processing Unit.

Redetermination of Eligibility: Each of the agencies delivering an authorized service to a recipient retains responsibility for the redetermination of eligibility and need for service. Eligibility is redetermined every six months. The procedure includes updating the income and/or eligibility status, redetermining the need for service, and developing a new Service Plan. Any possible oversight in redetermining eligibility is flagged by the Claims Processing Unit. Clients are furnished with 10 days notice of any change in eligibility.

Appeals: Every individual determined to be ineligible for services, or whose service is to be reduced or terminated, has the right to appeal to the State Department of Public Welfare. During the appeals process, the DPW continues to make payments for the services provided to the recipient. The decision of the State DPW is final unless appealed to the State Board of Welfare. Payment for services terminates when the decision is final. No appeals reached the State level during calendar year 1975; all were resolved at the county level.

6-4 PARENT FEES

Indiana does not charge fees for any of its social services.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Licensing Unit of the Division of Social Services is responsible for licensing of day care centers, child caring institutions and child placing agencies in Indiana. The unit also provides ongoing monitoring, and continuing consultation to child care facilities which are licensed.

Licenses, which are required by State law, for day care centers as well as for family day care homes, are issued subsequent to written verification by inspectors from the State Board of Health, the State Fire Marshal, and State Licensing consultants that the facilities meet all necessary standards.

Family day care home licensing studies are the responsibility of County Welfare Departments. Their staff recommendations are forwarded to the State for issuance of license.

Staffing: There are two supervisors and 12 licensing workers in the State Department of Public Welfare, with responsibility for licensing day care centers. Four of the 12 workers are stationed in Indianapolis; eight have home bases out-state. These same staff also have responsibility for licensing of child care institutions and child placing agencies. Approximately 75% staff time is spent on day care licensing.

Family day care homes are licensed by an unknown number of county caseworkers. In Marion County, for example, there is one supervisor and four caseworkers involved in licensing.

The minimum educational requirement for State licensing workers is a Bachelor's Degree, preferably in a social service area. All current licensing workers have additional background in social service work.

The average caseload is 60 centers.

The authority and standards for licensing have all been established by State law.

7-2 STANDARDS

Standards Development Process: Regulations governing day care centers were revised in February, 1972 as a result of recommendations from a panel comprised of operators, parents, specialists, and licensing consultants from the Board of Health, Fire Marshal and other agencies.

Recommendations for the revision of standards for Family Day Care Homes have recently been completed and are awaiting the approval of the Governor.

Content of Standards:

Staff-Child Ratios

Centers: (Maximum number of children is not specified)

Ages	Ratios
2 year olds	1:5
3 year olds	1:10
4 year olds	1:12
5 year olds	1:15
6 and over	1:20

Family Day Care Homes: (Boarding home for day time care of up to 10 children)

under 2	1:3
3-14	1:6

Ratios include children of provider.

Comparison of Standards and FIDCR: Indiana's day care licensing requirements are similar to the FIDCR in the areas of basic health and safety; however, they do not include parent involvement, social service, educational component, or specific medical requirements. The most outstanding area of difference is in staff/child ratios. The philosophy in Indiana is that day care is basically a service for working parents. Licensing provides protection for the health, safety and welfare of the child. Day care services attempt to meet the needs of the whole child while in care and standards include some social services and educational requirements.

The Provider Enrollment unit of the Title XX section is responsible for certifying that centers meet Federal requirements. This is done as part of the contract negotiation process; licensing personnel are not involved. Prior to Title XX implementation, Federal standards were not required for any day care services in Indiana.

There are no procedures for certifying that family day care homes meet Federal standards. Family day care homes are not used for Title XX services, but are the primary service source for WIN day care.

There is no precise means of estimating the number or percentage of providers willing and able to comply with FIDCR standards. The fact that of the 101 private centers that furnished services previously under the Title IV-A program, 28 or 28% have not re-negotiated contracts as providers under Title XX. State officials have estimated that a large percentage (up to 50%) of new potential providers fail to pursue their applications when they learn of the high standards.

State officials stated that FIDCR standards are so high, especially concerning staff/child ratio that this is driving up costs of day care. Indiana law requires that 50% of the children in a licensed center be private payees. State officials fear that higher costs at FIDCR certified centers, no matter how well justified and documented, will force private payors to unlicensed centers resulting in a double standard for day care services: high for the poor and indigent Federally subsidized cases; lower for the private payors. It tends to foster a reverse segregation. The Governor has written to Congress clearly labelling the FIDCR standards as "ludicrously high".

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	# Sanctioned	% Disq.	Planned	Actual
Public Centers	License	-	-	-	annual	annual
Private Centers	License	unknown	276	minimal	annual	annual
Group Day Care Homes						
Family Day Care Homes	License	unknown	1,040		annual	annual
Relative DCH's	None	-	-	-	-	-
In-Home	None	-	-	-	-	-

Fees for Licenses: No fees are charged

Content of Licenses: Content of licenses for family day care homes and centers includes:

- type of facility (day care home, center)
- date of issue
- period valid (expiration date)
- location of facility (address, county)
- maximum number of children to be served

7-4 LICENSING PROCESS

Areas of Investigation:

Centers:

- Health
- Fire
- Building
- Nutrition
- Staffing
- Program

Homes:

- Equipment
- Facility
- Fire (if more than 6 children)
- Medical
- Caregiver qualifications

Extent and Nature of Process: Upon learning of a provider's intent to apply for a license from the Department of Public Welfare, a request is forwarded to the State Fire Marshal and the Board of Health to conduct on-site inspections of the premises. When reports of these investigations are received by DPW and found to be satisfactory, a formal application form for a general license is forwarded to the provider. At this point, State licensing consultants provide assistance to the providers, and over the course of several visits, answer questions and work closely with providers in preparing the application. The final phase is a standardized narrative evaluation by the consultant which, if favorable, results in recommendation for the issuance of a license.

County welfare workers are responsible for completing licensure studies for family day care homes. This usually involves a rather informal procedure which varies from county to county. Narrative home descriptions are completed, indicating compliance with State requirements and any county requirements. The number of visits varies depending on the time required to correct deficencies and obtain compliance. These studies result in a form recommending licensure which is sent to the SDPW. The process is usually initiated by a county caseworker who wants to use the home for services for a client.

Conditional Licenses: Any "boarding home, day nursery, children's home or child placing agency" may be issued a provisional license for up to one year provided that its services are needed and it is temporarily unable to conform to all regulations (i.e., no major hazards exist). The most frequent cause for the issuance of a conditional license is out-of-compliance physical facilities.

Revocations: Verbal or written notification, at the discretion of the individual consultant, may be given to out-of-compliance providers. If the violation persists, the provider is reduced to a provisional license for six months. Continued violation warrants automatic termination of license. No revocations were issued in the past year; however, one center was reduced to a provisional status for three months in order to raise its staff/child ratios.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Different types of monitoring are accomplished by separate units within the State Department of Public Welfare. The Licensing unit is responsible for monitoring day care center licensing requirements (State). The Provider Enrollment unit within the Title XX section is responsible for monitoring purchase of service contracts. This responsibility includes program, fiscal, and FIDCR monitoring. Finally, a Quality Control Unit in the Public Assistance Division of the State Welfare Department has been assigned to spot check clients and regularly review and verify county records. The Quality Control Unit was established several years ago in order to resolve abuse of Title IV-A funds. It succeeded to the point where there were very few penalties connected with IV-A. It has now been redirected to apply the same monitoring effort to Title XX activities.

A Title XX monitoring and evaluation system is also being planned within the State Title XX section, as a control mechanism to ensure the efficient use of available funds. Some of these functions will be subsumed under that system.

County welfare department responsibility for monitoring includes family day care licensing requirements and working with the State DPW Monitoring and Evaluation staff by informing the State DPW whenever there is a question regarding client or provider eligibility.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers						
Private Centers	Licen. U.	100% Licen.			Annually	2-4 hrs.
	Prov. En.& Clms. Proc			100%	Quarterly	8 hrs.
Group Day Care Homes						
Family Day Care Homes	County Welfare Department	Varies	Varies	Varies	Varies	Varies
In-Home	-	-	-	-	-	-

Indiana has identified four activities critical to a successful Title XX program:

- assuring that recipients are eligible to receive services
- assuring that services for which reimbursement is claimed have been authorized and delivered
- assuring that providers are eligible to provide services accoring to Federal regulations and State policies
- assuring general accountability for expenditures and results of these expenditures

8.3 PROCESS

Management: Two operational levels for the monitoring and evaluation system have been identified: recipients and service providers. Recipient data will be reviewed by the Quality Control Unit during on-site visits to the County Welfare Departments and the provider facilities. Examination of the following records will be made:

- Service Application
- Income Verification Data
- Service Plan
- Notifications of Service Action

Monitoring of the county departments' delivery of service will include examination of the following:

- Service Application
- Service Plan
- Staff Records and Time Sheets
- Statistical Reports

Standards: Day care standards are monitored by the Licensing Unit. Attempts are made to visit centers at least quarterly for spot checks.

The Provider Enrollment unit of the Title XX section monitors compliance with FIDCR, as part of the ongoing contract monitoring effort.

8-4 RESULTS

Monitoring of management activities is in implementation stages and there is no data yet regarding results.

FIDCR staff/child ratios were implemented in October, 1975 concurrently with Title XX. Contracts were re-negotiated with day care centers according to new regulations and policies, including the provision that the Federal staff/child ratios be met. This requirement resulted in the loss of approximately 20% of day care center resources from whom slots had previously been purchased. Indiana has a requirement that it will purchase no more than 50% of the slots of any provider. The affected facilities did not re-negotiate contracts because they thought they would be unable to fill thepprivate slots due to necessary rate increases.

Licensing unit staff indicated that most centers are found to be out of compliance in one or more areas during monitoring visits. Licensing staff provide assistance in upgrading programs to meet standards.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

There is no one unit in charge of training and technical assistance in Indiana. The State DPW has a Staff Development section for in-house staff. The majority of technical assistance for the State agency has recently been obtained through an outside consulting firm.

Training/technical assistance for County Welfare Departments is accomplished by the Field Service unit within the Title XX section.

Technical assistance for licensed day care center operators is the responsibility of the Licensing unit. County Welfare Departments are responsible for assisting family day caregivers. The Provider Enrollment unit of the Title XX section provides necessary technical assistance to center operators under contract.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State Staff (Title XX)	Consulting firm	Assistance in re-organization and implementation of Title XX	
State Staff	State	Methods to administer DPW Manual - workshop	unknown
Local Staff	State (Field Service Unit)	Health, nutrition, safety standards - workshop	unknown

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers	State Licensing Spec., Provider Enrollment and Claims Processing Units	Claims processing procedures compliance w/licensing standards; general management and program assistance.	as needed
Homes	State Licensing Spec.	Compliance w/licensing standards	as needed
	County	Programming, education, health instruction	

9-3 PROCESS

The Title XX implementation effort was identified as a seven man year effort requiring 22 full-time staff, in addition to State DPW staff. Technical assistance was obtained through a contract with an outside consulting firm. This is not ongoing assistance, but was part of an effort to implement Title XX as expeditiously as possible.

The Field Services unit of the Title XX section provides ongoing training and assistance to local County Welfare Departments. This includes assistance in developing their own social service plans as input for the State Comprehensive Annual Service Plan; in reviewing and upgrading their provision of service; in clarifying guidelines and procedures to be followed in implementation of Title XX programs. In addition to this assistance, the Field Services unit provides training to county staff in such areas as health and safety standards for day care, etc.

The State Licensing unit provides technical assistance to licensed centers in upgrading their programs to meet standards.

The State Provider Enrollment and Claims Processing Units provide assistance to centers from whom services are purchased in developing adequate management, costing and accounting procedures.

9-4 RESULTS

Technical assistance provided during the Title XX implementation effort allowed the State to fully implement Title XX in a planned manner much more quickly than other States. It afforded the opportunity to totally re-vamp the system according to new requirements and policies within the Department.

No information is available on results of other training/technical assistance efforts. County personnel responded informally that Field Service unit workshops had been helpful.

9-5 PRINTED MATERIAL

- Vendor Procedures Manual
- County Administrative Procedures Manual
- Claims Processing Manual

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure: Indiana uses only a portion of the Title XX money alloted to it by Federal authorities. The CASP projected the use of 64% of these funds in Fiscal Year 1977. Actual use is limited by two factors: the recognition of legitimate need, and the availability of local funds. In the case of child day care, the need for this program has been long established and it has not suffered from lack of funds. The projected expansion of other Title XX activities is being curtailed, however, by a reduction in the State funds approved by the legislature in 1976 from those requested in the CASP. Indiana statute prohibits the State from going into debt on social services. The program is therefore confined to the limit of funds appropriated each year by the legislature and administered by the Budget Director and Department of Public Welfare. The Accounts and Audits Section of the Division of State Administrative Services within the Department of Public Welfare has responsibility for all welfare fiscal activities. For Title XX purchase of services most of this responsibility has been delegated to the Title XX Section of the Division of Social Services.

Local: Each County Welfare Department has its own Accounting Section.

Function: The Accounts and Audits Section retains an overall supervisory role to determine budget limits and make certain that contracts and claims remain within budgeted and negotiated limits. The Provider Enrollment Unit, however, negotiates provider contracts and the Claims Processing Unit monitors claims, verifies vouchers and prepares them for payment. As a result, virtually all fiscal management for Title XX day care activities is focused in the Title XX Section, within limits prescribed by the Division of Administrative Services. This is the only program for which such a delegation has been made and the Social Services is the only division with its own claims processing unit. In this way fiscal management is centered with program personnel.

10-2 FISCAL MATERIALS

Fiscal materials are comprehensive, well-organized and easy to interpret. Title XX staff uses the detailed Claims Processing Manual which was developed by the Claims Processing unit staff and is regularly revised and clarified.

A Provider Administrative Procedures Manual, prepared by the Provider Enrollment Section, is given each provider and presents a step-by-step procedure for preparing claims voucher and cost/attendance records.

10-3 INCOME SOURCES

Source	Amount FY 74-75	Amount FY 75-76 *
Title XX/IV-A	$2,600,000	$2,649,114
WIN	480,725	300,000
CWS IV-B **	-	-
Unmatched State Funds	-	-
Other	-	-
TOTAL	$3,080,725	$2,949,114

* Actual figures for seven months have been extrapolated to cover 12 months for comparison purposes.

** Title IV-B funds in Indiana are used for Child Welfare services other than Day Care. In FY 75 they amounted to $1,164,582, in FY 76 they are projected at $1,165,964.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Purchase of Service Contracted Facilities	2,600,000	2,649,114
Vendor-Paid Facilities	500,000	unknown
Direct Provision/ Operation	-	-
Client Purchase with Social Service Reimbursement	-	-
TOTAL	3,100,000	2,649,114

Description of Funding Methods/Processes:

A. Purchase of Service: The only services purchased with Title XX funds up to March, 1976 have been from private day care centers. The contracts are negotiated by the Provider Enrollment Unit of the Title XX Section of the DPW Social Services Division. This unit and the Claims Processing Unit administer the contracts and enforce quality control.

The procedure for purchasing services is described in great detail in the Purchase of Social Services Manual. It consists of the following steps: 1) submission by the provider of a Provider Application, Unit Rate Determination form, and Fee Schedule; 2) Review and preparation of a County Investigation Report by the CDPW; 3) Review and preparation of a Provider Agreement including an appropriate reimbursement rate by the SDPW; and 4) Acceptance and signature by provider and SDPW of the Provider Agreement. This is a ten-page contract which specifies the number of day care units purchased listed by eligibility category, the unit price and total purchase price. The Provider Enrollment Unit determines the unit price based upon a line item cost breakdown submitted by the potential provider in the unit Rate Determination form. These unit cost determinations are reviewed yearly with each renewal of the Provider Agreement.

The quality control procedures followed by the State agencies are as follows:

- Intermittent spot audits by the Provider Enrollment Unit

- Verification of each payment voucher by the Claims Processing Unit to make certain that the amount claimed by the provider: 1) does not exceed the cumulative total expenditure authorized in the contract; 2) does not exceed the cumulative total units of service authorized for any category of service; 3) does not exceed the limits of service units for any individual recipient authorized in his individual service plan.

- Yearly audits by the Provider Enrollment Unit prior to renewal of the contract and redetermination of unit cost rates. The determination of unit cost, based on a line item breakdown of all costs for the center with appropriate allocation between Federal and private supported activities, provides control of contract expenditures.

There are similar planned procedures for purchase of services from public providers and public agency providers in the future. There was no large scale subcontracting at the time of this review.

Family day care homes and in-home care are administered by the county. Counties do not contract for these services. Vendor payments are made, or clients on assistance purchase their own.

B. Direct Provision: None

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement: per child day; 8 hours constitute a full day.

Provider Type	RATES		
	Basis	Average	Range
Public Centers			
Private Centers	Actual cost, based upon line item budget of past costs	$5.53 per child day	Up to $7.35
Family Day Care Homes	Varies by county Rates are determined by each county for this county-administered prog.	-	-
Group Day Care Home		-	-
In-Home	Varies by county. Rates are determined by each county for this county-administered prog.	-	-

10-6 IN-HOME CARE

No overall figures are available for in-home care as this varies from county to county. In-home care is a county-administered program for which the individual county establishes the basis and actual rates. This method is primarily used for the WIN program.

10-7 INCOME ELIGIBLES AND PARENT FEES

Indiana charges no fees for services under Title XX.

10-8 DONATIONS

Prospective donors are required to file a Donor Form with the local County Department of Public Welfare. The county then investigates to determine:

- Appropriateness of the donation for Title XX purposes
- Community need for the services to be supported
- Client need for the suggested services
- Reliability and reputation of the donor

The donor form is forwarded to the State Department of Public Welfare for acceptance or rejection. They may be rejected if the donation is restricted so closely as to area or service as to be confined to a single prospective provider. During calendar year 1975, donations for Title IV-A activities totaled $363,537.23.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered

Description of Administrative Structure: The Department of Social Services is the designated state agency responsible for the administration of Title XX. The department consists of three program divisions and a series of centralized services.

Overall authority for state child care services is held by the Division of Community Services. Seven bureaus are organized under the division; the Bureau of Family and Adult Services is specifically responsible for the administration of child care services. The bureau is administered by a director and a State Day Care Specialist who together are responsible for overseeing all child day care management functions, except fiscal.

Fiscal management is a centralized service and is separate from the Division of Community Services.

Basically, the administrative pattern in Iowa consists of policy determination at the state level and implementation at the district and county level.

Statewide, there are 8 State Day Care Consultants assigned to 16 multi-county Districts. The Day Care Consultants are primarily responsible for licensing, monitoring, and the provision of training and technical assistance to Day Care Centers on a district wide basis

At the county level there are the equivalent of approximately 20-24 full time county service workers assigned to child care statewide. The service workers operate within county social service units under the direction of a unit supervisor. They are primarily responsible for licensing, monitoring, and the provision of training and technical assistance to Day Care Homes.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 74-75	FY 75-76
Total Social Services Funds (Titles IV-A/XX)	UNK	$45,187,623
Total Child Care Funds (Titles IV-A/XX)	UNK	2,477,734
Percentage of Total Social Services Funds Allocated to Child Care	UNK	5%

The Iowa site visit was conducted in November, 1975. Interviews were conducted with staff in the state office and with local staff at one site.

The Comprehensive Annual Services Program Plan (CASP) for FY '75-76 is a 9 month plan (October 1, 1975-June 30, 1976). Figures shown in the plan for Social Services and Child Care are $33,975,657 and $1,862,958, respectively. These figures have been annualized by multiplying by a factor of 1.33.

Child care is not considered a top priority program in Iowa. Day-care ranked 10th in terms of frequency of mention at a series of public hearings in a total distribution of 38 different services. Social services planning was ranked first.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	2	2,739	UNK	2,116,572
Private Centers	671			
Group Day Care Homes	THIS CATEGORY NOT UTILIZED			
Family Day Care Homes	1,268	752	UNK	58,229
In-Home Care	UNK	157	UNK	17,854
TOTAL	1,941	3,648	UNK	2,192,655

*Includes all licensed, approved or otherwise sanctioned providers.

It was reported that in-home care is being avoided where possible primarily because of costs dictated by minimum wages. The Title XX plan allocated $340,468 to in-home care.

1-4 INFORMATION SYSTEM

Nature of Records

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	Yes	Family	Local
Standardized social service forms	Yes	Family and Individual	Local
Computerized records	Yes	Individual	State

Extent of Data: Computerized records, narrative social service records, and standardized social service forms are complete for client identifiers, eligibility status, and goals data. The Service delivery data, cost data, and demographic data is substantially complete.

Data Aggregation: Client data is collected at the local level and computerized at the state level. Local workers utilize a preprinted form to record client data initially. A turn around document is used for recording changes. A master file is maintained for two years and then recorded on microfiche.

The system is capable of producing reports on day care services by provider type, client category, and by various demographic characteristics.

1-5 STATUTES

Statutes and ordinances regulating child care (other than licensing regulations) include specific standards contained in local fire ordinances, state health department regulations, and social service regulations. A state child abuse law regulates the treatment of children in child day care settings. In addition, confidentiality laws prohibit the disclosure of client files without due cause.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Currently, Iowa is in the process of rewriting standards. State personnel reported that "more adequate standards" were needed and that a single state unit should be responsible for licensing. State personnel also cited insufficient funding for training and for follow up of family day care homes as a problem. County personnel cited zoning ordinances, transportation, medical exams, and day care facilities for children under 3 as problems. State personnel cited quality of staff is a major program strength.

2. NEEDS ASSESSMENT

No systematic statewide needs assessment was undertaken.

In the process of formulating the first year's Title XX plan however, an effort was made to identify all human service needs which should be reflected in the plan. This was accomplished as part of the planning process itself, through a series of 43 public hearings convened in all 16 districts in which persons and groups outside the Department of Social Services presented service proposals for Title XX inclusion. State personnel conducted an analysis of the proposals received in three of the districts by type of service proposed and frequency of mention. This analysis showed that 38 different services were proposed and daycare ranked 10th.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-Going Planning: Prior to Title XX the Bureau of Family and Adult Services had responsibility for social services planning, including child care. This consisted primarily of program planning and administrative planning.

Title XX Planning: A special Title XX planning group was formed, made up of staff from the several divisions within the Department of Social Services and from WIN. This group designed the general strategy for planning, and with input from a statewide Advisory Task Force and from a series of public hearings developed the statewide Title XX plan.

Staffing: Title XX planning was conducted by in-house staff within the Department of Social Services. State personnel said that planning for Title XX was more extensive, more systematic, and involved more participation than previous planning efforts.

3-2 PLANNING PROCESS

The planning process was conducted in several phases. First, a statewide Advisory Task Force representative of different groups, agencies, and interests outside the Department of Social Services was formed to assist the basic departmental planning group. Next, a total of 43 public hearings were held in the 16 districts of the state. Each district then compiled its own Title XX plan, frequently with the assistance of a separate Advisory Committee. Finally, the 16 district plans were submitted to the state departmental planning group which sorted and organized the district plans into a single consolidated statewide Title XX plan. No special effort was directed toward child care planning.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be served	Yes	Yes	7820	More
Population Categories to be served	Yes	Yes	AFDC-WIN-2861 AFDC-IETP*-2800 AFDC, Non-WIN, Non-IETP-1168 Inc. Eligibles (80% SMI)-816 Other Elig. (Unspec.)-175	Income Eligibles Added
Priority Population Categories	No	No	--	--
Service Provider Types	Yes	Yes	Day Care Licensed Ctrs.-1826 In-home Care **-2830 Family Day Care-3164	Unk
Special Provider Attributes (e.g., hours of service)	No	No	--	--
Geographic Areas	Yes	Yes	Services and expenditures allocated for each of 16 districts	Same
Dollars Allocated for Child Care Service	Yes	Yes	$2,483,944	More

* ADC recipients involved in Iowa Training Program

** Although Iowa planned to serve 2,830 children in In-home Care, it was reported that this provider type is being avoided where possible because of cost.

Planned Organizational Changes: The state has vested future responsibility for Title XX planning in the Division of Management and Planning. The Division will lead the annual Title XX planning process, but will work closely with the Division of Community Service, the District Administrators, and outside groups and interests.

3-4 UTILIZATION/IMPLEMENTATION

Two planners have been hired by the Department to deal specifically with future Title XX planning.

4. EVALUATION

No systematic or formal statewide child day care evaluations have been conducted.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R Services

There is no statewide Information and Referral Program in Iowa. I & R is available at both the district and county level however, although there are no specific units designated as such. This includes I & R for all social services, including child care.

Social service workers in the county offices were identified as the dominant personnel providing I & R.

5-2 PROCESS

Assembling Information: The district day care consultants are responsible for assembling and updating information on day care centers. The supervisors of the local service units are responsible for assembling and updating information on family day care homes.

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Centers	Yes	Annual	Yes	No	No	No
Homes	Yes	Annual	No	No	No	No
In-home	None	None	None	None	None	None

Despite the presence of a statewide computerized list of Day Care Centers, this resource is not utilized in the dissemination of information.

Although data is systematically collected for day care homes, this seems to be restricted to recording names and addresses of providers.

Disseminating Information: Word-of mouth, mailings, speeches, and pamphlets are utilized to make the community aware of child care services. No formal outreach programs have been undertaken.

Assessing Client Need/Referral and Follow-up: The assessment of client needs is undertaken primarily by county workers. The assessment itself is based on a child's age, personality, family composition, and such factors as location, hours of care, and cost. Parents participate in this assessment, and ultimately, are involved in the selection of a child care service for their children. In the case of WIN participants, the referral process may involve an intervening step in which the WIN worker will assess the appropriatness of a child care setting.

Once the assessment process is complete, the parent is provided with a list of addresses and phone numbers. The parent is expected to make his/her own child care arrangements with the provider.

No systematic follow-up procedure has been implemented. Parents are asked to call back if they have been unsuccessful in finding a placement or if they encountered difficulty once a child has been placed.

5-3 RESULTS

Time period: 1 Month

Number clients seeking child care referral	8
Number actively assisted	8
Number securing their own services	0
Number unable to secure services	0

No results were available for I & R statewide.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies and regulations, based on Title XX guidelines, are established at the state level by the Bureau of Family & Adult Services. Direct implementation, from the obtaining of applications through the determination of client eligibility, takes place at the local level through county social workers.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC - Non-WIN
- WIN (parent in training program)
- Income Eligibles defined as:
  - Free care for families earning up to 80% ($950/mo.) of the state median income.
  - Full cost to families earning over 80% of the state median income.
- CWS clients (eligible for child care under Title IV-B if excluded under Title XX.
- Native American Indian (reportedly to be discontinued)

Revisions Since Passage of Title XX: The Income Eligibles category was added and the Native American Indian category will be discontinued.

Materials to Ensure Uniform Interpretations: Guides are available to local workers with updates provided by circular letters.

6-3 PROCESS & VOLUME

Applications: Standardized application forms, developed by the State Bureau of Family & Adult Services, are in use statewide. The applications are completed by the client with the assistance of local service workers. County personnel stated that improvements are needed in the "paper system" and that more time is needed for direct client contact.

It was reported that approximately 6000 child day care applications have been secured and processed statewide. This constitutes 12% of the 50,000 applications reported to be secured for all social services.

Eligibility Determination & Verification: Supportive documentation is required of all applicants. If an applicant is employed, paycheck stubs are required to verify that the applicant meets the 80% SMI requirement. No verification procedure was cited for ADC clients. Generally, the time lapse between completion of an application and eligibility determination is 10 days or less. The client receives a written notice specifying the eligibility determination.

Quality Control: All clients are required to report changes in their status which may alter their eligibility. No systematic or formal quality control procedure has been implemented. Generally, county workers follow up only in cases where they suspect or have heard of a change in client status.

Redetermination of Eligibility: Eligibility is redetermined every six months on the basis of redocumentation. Generally, changes altering eligibility are identified at this time. Payment for services for ineligible clients is discontinued.

Appeals: Ineligible clients are provided with a form specifying the right to appeal. Services are continued for clients while an appeal is being decided. No records have been maintained on the number of clients appealing their eligibility status.

6-4 PARENT FEES

There are no fees for child care services. The full cost of service is paid above 80% the state median income.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Bureau of Family and Adult Services has authority for establishing licensing standards; district and county personnel are responsible for carrying out the regulations, including issuance, renewal, and enforcement, for all provider types. The district Day Care Consultants have responsibility for licensing Day Care Centers while county service workers have responsibility for licensing Family Day Care Homes. The Day Care Consultants have authority to issue or deny a license and to close a program down; the service workers can recommend that a license be denied with the final decision left to the service unit supervisor. Providers have recourse to an appeal process.

Up until August, 1975, licenses for centers were voluntary, but were mandatory if they received public funds. Currently, a license is mandatory for all private centers.

The license for homes is voluntary. The voluntary license will be replaced by a voluntary registration about July 1, 1976.

No license or approval standards have been promulgated for in-home care.

Staffing: The issuance of child care licenses is based on direct observation and investigation by licensing workers and reports received by health and fire officials. Statewide, there are 60 workers providing the full time equivalent of approximately 20-24 staff members assigned to licensing.

An undergraduate degree, preferably in social work, together with five years of related experience or graduate work, is the minimum requirement for Day Care Consultants. An undergraduate degree or equivalent experience is required for the service workers. This is supplemented with on-the-job training.

7-2 STANDARDS

Standards Development Process: Licensing standards for centers were updated in 1975 in consultation with a state Day Care Advisory Committee. State personnel reported that the standards developed were finalized and implemented in three steps. First, hearings were convened through the state Day Care Advisory Committee in which input was sought from the public as well as providers. Second, the standards were reviewed by a Commissioner's review team and by a 5-member council appointed by the Governor. The final step involved the enactment of the standards into a formal public notice and the publishing of the standards.

The standards for Family Day Care Homes were last updated in 1970.

Content of Standards:

Staff:Child Ratios

	Ages	Ratios
Centers:	0-2	1:4
	2-3	1:6
	3-4	1:8
	4-5	1:12
	5+	1:15
Group Homes:	THIS CATEGORY NOT UTILIZED	
Family Day Care Homes:	No more than two children under 2 and no more than five in total, including the day care family's own children under 14 years old.	

A new staff-child ratio for homes will begin about July, 1976. The new ratio will require no more than two children under 4 and no more than 6 in total, including the day care family's own preschool age children.

Additional Components of Standards: Standards for centers regulate personnel qualifications and responsibilities, the plant, program activities, health and nutrition, parental participation, records and reports, mandatory reporting of child abuse, discrimination, and fire and safety.

Standards for Day Care Homes include health and medical care, criteria for day care families, inspection of day care homes, nutrition, and social services.

Comparison of Licensing Standards with FIDCR: Iowa's staff:child ratio for Family Day Care Homes exceeds FIDCR's while the ratio for Day Care Centers are less stringent. For centers only the 0-2 staff:child ratio matches FIDCR.

It was reported that the standards for staff:child ratios are most problematic from the standpoint of implementation. County personnel said that the standards "scare" some providers off; state personnel said that there have been many grievances concerning the standards. Costs have reportedly increased by 100% from $4-5 per day (per child) to $10 per day since 1968. It is anticipated that further cost increments would result from full compliance with FIDCR and that many providers would be unable/unwilling to operate. Other difficulties specified in meeting standards relate to social services, evaluation, health and nutrition, and administration.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers*			Renewal Freq.	
		Total#	#Sanctioned	%Disq.	Planned	Actual
Public Centers	None	UNK	n/a	n/a	n/a	n/a
Private Centers	License	745	671	UNK	Annual	Annual
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	Voluntary License	5,000	1,268	UNK	Annual	Annual
Relative In-home**	None	UNK	n/a	n/a	n/a	n/a
In-Home**						

* Estimates
** The states in-home program is being used only minimally because of cost factors.

Fees For License: No fees are charged.

Content Of License: The license for both day care homes and centers includes:

- Date of Issue
- Period valid and/or expiration date
- Maximum number of children to be served
- Category of license and limitations

7-4 LICENSING PROCESS

Areas Of Investigation: A licensing study for a Family Day Care Home generally covers the physical characteristics of the home, provider characteristics, verification that children have had medical clearances, and provisions for handling sick children.

A licensing study for a center includes all the above (except verification that children have had medical clearances) plus the educational, nutritional, and health components, and the extent of parent involvement.

Extent and Nature of Process: A structured investigation format is used in all licensing studies. Homes generally require one visit and centers 2-3 visits to complete a licensing study. Approximately 30 days are required for completion of Family Day Care Home study. Frequently, a somewhat longer period is required for completion of a day care center study. Paper work, and inspections by the health and fire departments were specified as factors that delay/impede the issuance of a license.

Conditional Licenses: A provisional license is issued for a period of time not to exceed one year if a center does not meet state standards. Followup is generally undertaken two to three months after the issuance of the provisional license, and periodic inspections are continued to assure that progress is being made. If compliance is not being achieved or has not been completed by one year, the provisional license is revoked and no regular license is issued. Fire and health regulations were cited as a frequent basis for the issuance of provisional licenses.

Generally, a provisional license is not issued to Family Day Care Homes. It was estimated that approximately 30% of the center licenses issued have been provisional.

Revocations: A written notice of revocation is presented to providers which do not meet one or more standards under the law. The notice informs the provider of the specific reasons for revocation as well as their right to appeal. Appeals are heard by two state hearing officers and may be reviewed by the commissioner and then the District Court. State personnel stated that no center has filed an appeal in the last year; two appeals have been filed by Family Day Care Homes.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Overall responsibility for child care monitoring is vested in the Bureau of Family and Adult Services. Generally, monitoring activities in Iowa are combined with relicensing activities. The eight district consultants monitor/relicense day care centers; the local service workers monitor/relicense Family Day Care Homes.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored*			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	District Day Care Consultants	90%	100%	100%	Annual	10 hrs.*
Private Centers						
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	Local Service workers	25%	100%	--	Annual	5 1/2 hrs.*
In-Home**	--	--	--	--	--	--

* Estimates provided by state personnel

** The state's in-home program is being used only minimally because of cost factors

8-3 PROCESS

Licensed centers and homes are monitored/relicensed annually. Basically, the same areas covered in the initial licensing study are reinvestigated in the monitoring effort, utilizing the same structured format. Methods utilized include site visits, unscheduled visits, and phone calls. There are no separate policies, regulations, or procedures however governing monitoring apart from licensing.

The only area cited which constitutes monitoring separately is the investigation of complaints.

8-4 RESULTS

No information was available on the proportion of centers and homes out of compliance. Cited as areas of compliance difficulty were health and fire regulations and staff:child ratios. When non-compliance is discovered followup can range from a warning to the revocation of a license, although state personnel stated that the latter is rarely undertaken.

9. TRAINING & TECHNICAL ASSISTANCE

9-1 ORGANIZATION

State: At the state level, the Bureau of Family & Adult Services is primarily responsible for T & TA in relation to child care. For the most part, the training effort has consisted of workshops organized through the state university open to state and county staff as well as providers. In the area of technical assistance, a state day care specialist meets monthly with the District Day Care Consultants on problems associated with licensing. In turn, the District Consultants provide TA to local child care centers.

No budget is allocated for T & TA, but state personnel estimated that 5% of time is allocated to training while 15% is allocated to TA.

Local: No training effort has been organized at the local level. In the area of technical assistance, the service workers provide TA to Family Day Care Homes.

Staff Background: An undergraduate degree, preferably in social work, together with five years of related experience or graduate work is the minimum requirement for Day Care Consultants. An undergraduate degree or equivalent experience is required for the service workers.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State Day Care Specialist	National & Regional Conferences	Child development, Licensing, Administration	Minimal
District Day Care Consultants	State Day Care Specialist	Monthly meetings which deal with problems associated with licensing	Monthly meetings
District Day Care Consultants and County Service Workers	State University	Workshops	Minimal

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers	District Day Care Consultants	Site Visits-child development, licensing standards	1-2 hrs. per site
Homes	County Service Workers	Site Visits-child development, licensing standards	3 hrs. per site
Center and Home Providers	State University	Workshops	Minimal

9-3 PROCESS

At the state level, problem areas are generally identified in the course of monthly meetings of the District Day Care Consultants. At the provider level, specific needs are identified in the course of site visits to homes and centers. Both state and county personnel stated that needs for T & TA were greatest among providers. Program activities, nutrition and health, administration, and minimum standards were named as the main content areas in which T & TA is needed. TA is generally provided during site visits aimed at licensing/monitoring, although TA is also offered by request.

9-4 RESULTS

Insufficient funding and staffing were cited as major constraints in the implementation and effectiveness of T & TA. No formalized or systematic followup procedure is in use.

9-5 PRINTED MATERIALS:

None.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State: The fiscal function is managed by a separate centralized administrative division within the Department of Social Services. Two accountants within the division are primarily responsible for child care fiscal management.

Local: No separate child care fiscal unit exists as such at the local level. Basically, fiscal activities are integrated with program activities.

Providers submit monthly invoices to the local service unit. These are audited and the county comptroller makes a 100% payment to providers. Copies of provider invoices are sent to the state fiscal unit which edits and audits the invoices and finally reimburses the county for 75% of the county payment.

Function: In effect, fiscal policy and procedures are formulated at the state level with social services personnel at the local level implementing the policies. State fiscal personnel (in consultation with program personnel) fix statewide procedures and forms, the annual budget, and reimburse counties 75% of local expenditures.

10-2 FISCAL MATERIALS

The full set of fiscal materials has been developed. All but one is rated as good or excellent by state personnel. Local staff said that 6 of the 10 items were excellent.

10-3 INCOME SOURCES

Source	% FY 74-75	% FY 75-76
Title XX/IV-A	Unk.	$2,483,944
WIN	Unk.	327,636
CWS	Unk.	N/A
Other:	Unk.	N/A
TOTAL	Unk.	$2,311,580

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (contracted facilities)	Unk.
Vendor Paid Facilities	Unk.
Direct Provision/Operation	Unk.
Client Purchase, with social service reimbursement	None
TOTAL	Unk.

Description of Funding Methods/Processes:

Purchase Of Service: All services are purchased from private centers and Family Day Care Homes except for two centers which are operated directly by the state. There is no information available on expenditures by method of expenditure.

Written contracts have been developed for both centers and homes. The contract form contains all required elements except the eligibility criteria to be used by providers in making eligibility determinations and the specifications of method and source of payment to the provider.

No large scale sub-contracting is undertaken. Quality control procedures include routine editing and auditing at both the county and state level as well as matching invoice statements with client records. No formalized system is present for adjusting overpayments other than telephone calls to providers in which reimbursement is sought.

Direct Provision: Two day care centers, directly operated by the state, are funded by advance payments and then audited for costs.

Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit Of Measurement: Per child, per child hour, per child day, per child week, per child month

Provider Type	Rates		
	Basis	Average	Range
Public Centers	Actual costs and rates charged by similar facilities	UNK	$3.00 - $10.00 regular care $15.00 - $22.00 special care
Private Centers			
Family Day Care Homes	Actual costs and rates charged by similar facilities	UNK	$3.00 - $10.00
Group Day Care Homes	THIS CATEGORY NOT UTILIZED		
In-Home	Minimum wage	$2.10	$2.10

10-6 In-home Care: Currently Iowa is paying a minimum wage of $2.10 per hour for in home care. It was reported, however, that in-home care is avoided where possible because of cost factors.

10-7 Income Eligibles: Persons earning up to 80% of SMI are eligible for free child care. Ineligibles must pay full cost of child care.

10-8 Donations: Only two or three donations were received in FY 1974 from churches and the United Way.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Social and Rehabilitation Services is the agency designated to administer the state's social service programs. The department is composed of four program divisions and one administrative support division.

Responsibility for managing child care programs is vested in the Division of Services to Children and Youth. Within this division, the Early Childhood Development Unit has specific responsibility for child day care services.

Fiscal management is the responsibility of the Division of Administrative Services. The division relates to all social service programs including child care. Its functions are non-programmatic and are limited to providing program personnel with financial statistics, reviewing proposed program expenditures, and developing cost estimates of new and revised services.

Day Care licensing is conducted jointly by the state Department of Health and the Early Childhood Development Unit. Licensing standards were updated in 1975. Local level social services staff and local Health Department staff check for compliance with licensing standards.

Basically, the administrative pattern in Kansas consists of policy formulation at the state level and implementation at the local level. Statewide, there are 17 area offices of the Department of Social and Rehabilitation Services. Each area office consists of multiple (county based) local offices. The area offices are primarily responsible for providing coordination, supervision, and planning on an area-wide basis. Each area office is directed by a Social Services Administrator. In Wichita, there were also two program divisions and two administrative support divisions. Responsibility for day care services is vested in the Social Services Division.

The local offices have major responsibility for carrying out the state day care program. Staff allocations for the local offices vary by county size.

The Kansas site visit was conducted in January, 1976. Interviews were held with 7 state staff members and with 6 local staff members.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 74-75	FY 75-76
Total Social Services Funds (Titles IV-A/XX)	UNK	$13,280,000
Total Child Care Funds (Titles IV-A/XX)	$3,520,417	$7,042,515
Percentage of Total Social Services Funds Allocated to Child Care	UNK	53%

While the Comprehensive Annual Services Program Plan (CASP) for FY 75-76 is a 9 month plan, state personnel reported that the dollar amounts shown are for the entire fiscal year and have been included as shown in the CASP plan. The child day care allocation is for normal children only. Additional child day care allocations for mentally retarded children ($525,568) and for children needing protective services ($3,468,750) are listed separately.

There are 4 professionals in SRS and the Health Department that spend full time administering the child care program. The state staff is supported by at least one staff person at each area and local office. The number of full time equivalents assigned to child care statewide was unavailable.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Actual Sanctioned* Providers	Number FFP Children (Per)	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	NO PUBLIC CENTERS SERVING FFP ELIGIBLES			
Private Centers	739	740	799,135	2,562,342
Group Day Care Homes	THIS CATEGORY NOT UTILIZED			
Family Day Care Homes	2,625	1,144	866,023	1,489,533
In-home Care	757	1,581	1,024,441	NONE
Relative Home Care	860	1,282	830,818	684,296
TOTAL	4,981	4,747	3,520,417	4,736,171**

*Includes all licensed, approved or otherwise sanctioned providers.

**The expenditure figures are for normal children only annualized on the basis of 11 months of expenditure. It was reported that the discrepancy of the FY 75-76 child day care allocations and expenditures has resulted, in large part, from the discontinuation of the state's in-home program in FY 75-76. In addition, the full implementation of the state's Relative Home Care program has been slower than anticipated because of the implementation of an approval process for relative home providers.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	Family, with child identified	local
Standardized social service forms	yes	"	state, local
Computerized records	yes	"	state

Extent of Data: Narrative and standardized forms are used. The narrative records contain complete information on client identifiers and eligibility status. Standardized social service forms contain cost, client fee, and provider identification. No data is collected on educational level, ethnicity, or handicapping conditions.

All information pertaining to client identifiers, goal data, eligibility status, and the service plan is computerized at the state level. It was stated, however, that the system currently produces only limited reports.

Data Aggregation: Information is collected at the local level and forwarded to the state. While staff do not anticipate problems in meeting Title XX reporting requirements, it is felt that the present computer system is too limited to produce a "good" numerical analysis of the state day care system.

1-5 STATUTES

None, other than licensing regulations.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Local staff point to a close working relationship with the health department and with the Child Day Care Association as a major strength in the improvement of child day care. It was felt, however, that there was a shortage of staff to do outreach activities, that more facilities were needed in identified areas, that there was a shortage of infant care facilities, and that rates paid to providers did not compare favorably with those paid by private clients.

State staff cited the enforcement of FIDCR since April 1975 as a major strength in the provision of quality day care. State personnel also reported that their computer system needs improvement in both the compiling and retrieval of data.

2. NEEDS ASSESSMENT

No Title XX needs assessment was conducted.

It was reported, however, that the state drew upon a previous child care needs assessment in developing the child care portion of the Title XX plan. The needs assessment, which was conducted by the Division of Services to Children and Youth in 1975, compared existing child care resources in the state with child care needs. Areas covered in the analysis included:

- Number of full and part-day care facilities available
- Employment status of Kansas women
- Income level of Kansas families
- Present child care arrangements of working mothers
- Costs of child care in Kansas
- Available financial resources to establish and operate child care facilities
- Available resources for families eligible for SRS assistance
- Assessment of need for additional services

The study reached 4 major conclusions: a) The present capacity of full and part-day care programs is inadequate; b) High priority should be set to obtain day care for mothers who are working, as well as those who want to work; c) Existing and new child care providers need additional social, health, administrative and program resources; and d) A comprehensive day care system for the state should include the needed financial resources to provide quality care. These recommendations formed the basis for the state's 5-year child care plan.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: On-going planning is the responsibility of individual program area supervisors within the Department of Social and Rehabilitation Services. Most planning, however, is limited to what is needed for budgeting and budget hearings.

Title XX Planning: Title XX planning was the responsibility of an interdivisional Title XX Planning Committee within the Department of Social and Rehabilitation Services.

Staffing: It was estimated that approximately 200 hours were spent in Title XX planning.

3-2 PLANNING PROCESS

It was reported that Title XX planning was more structured, coordinated, and time consuming than previous planning efforts.

A special effort was made to work with the staff who conducted the pre-Title XX child care needs assessment and to focus on child care in public meetings.

The services incorporated in the Title XX plan resulted from the deliberations of the planning committee, in-house staff, 35 meetings across the state, 2 state meetings, the child care needs assessment, and certain outside agencies. Local staff felt they were not sufficiently consulted in the planning process.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total number to be served	yes	yes	4,747	fewer
Population Categories to be served	yes	no	AFDC, SSI, income eligibles	more
Priority Population categories	no	no	---	--
Service Provider Types	no	no	---	--
Special Provider attributes	no	no	---	--
Geographic Areas	no	no	---	--
Dollars Allocated for Child Care Service	yes	yes	$7,042,515	more

Planned Organizational Changes: None.

3-4 UTILIZATION/IMPLEMENTATION

It was reported that a Day Care Advisory Committee is being created in each area of the state. A state Advisory Committee, consisting of representatives from each area committee, will be involved in future Title XX planning.

4. EVALUATION

4-1 ORGANIZATION

The evaluation effort is being undertaken by the group care specialists within the state Division of Services to children and youth.

It was reported that the evaluation effort is being undertaken in conjunction with the state group care specialists' monitoring of centers and homes. Under the state's plan, the goal is to monitor/evaluate 10% of the FFP centers and homes annually. While the monitoring effort consists of site visits to determine compliance with FIDCR, the evaluation effort consists of the administration of evaluation instruments to parents, provider staffs, and center boards.

4-2 ACTIVITIES AND PROCESS

Three evaluation instruments have been designed: a parent questionnaire, a staff questionnaire, and a board questionnaire.

The parent questionnaire includes items on rates being paid, why parents need day care, how long children have been enrolled, and satisfaction with client eligibility procedures.

There are also items asking parents to rate the quality of child care received, and what they like most and least about the care received. The questionnaire is given to all parents for each provider monitored. Parents are asked to return the questionnaire to the state office utilizing an enclosed stamped envelope.

The staff questionnaire includes items on staff involvement in the development of personnel policies, satisfaction with rate of payment and fringe benefits. There are also questions on staff training, staff skills, and how the center could be improved. The staff questionnaire is administered and completed by staff at the time of the monitoring site visit.

The board questionnaire includes items on the participation of members in committees and activities, on what offices have been held, and their involvement in the development of personnel policies. They are also asked whether they have read the state's licensing standards and to identify weaknesses and strengths in the provider agency.

4-3 RESULTS

It was reported that the monitoring/evaluation visits are proceeding faster than the state staff's capability to tabulate the findings. Currently, a report is being prepared on each center and home evaluated, with the results being returned to provider. Eventually, the state anticipates aggregating the data from the individual provider agency reports into a comprehensive statewide report.

To date, 10% of the state's FFP centers and 2% of the FFP homes have been included in the evaluation effort.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no state level information and referral service.

At the local level, information and referral is provided for all social services, including child care, by SAU-WIN staff, social service workers, and income maintenance workers.

In Wichita, a new information and referral position has been staffed recently. The Wichita Child Day Care Association has also been involved in information and referral.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Centers	yes	Quarterly	No	Yes	Yes	Yes
Homes	yes	Quarterly	No	Yes	No	Yes
Relative Out of Home Care	yes	Quarterly	No	No	Yes	Yes
In-home	NO IN HOME PROVIDERS FOR FFP ELIGIBLES					

Information is assembled at the local level for all provider types by social services supervisors and local SRS staff.

Disseminating Information: No formalized outreach program has been implemented. It was reported that word of mouth is the main method for making the community aware of child care services.

In Wichita, the local Child Day Care Association has also been active in disseminating information.

Assessing Client Need/Referral and Follow-up: It was reported that the assessment is based primarily on the parent's choice of a provider type and the availability of that provider type.

Generally, the client needs assessment is completed by local level service workers statewide. In Wichita, however, it was reported that the assessment for income eligibles is completed by a worker in a Program Extension Unit located in a separate building of the Wichita Child Day Care Association. If the client is eligible, the child is assigned to a contracted provider under the umbrella of the Wichita Child Day Care Association.

Parents are involved throughout the assessment, and ultimately are involved in the selection of a service for their children. This includes making phone calls to providers and pre-placement visits. After the client makes a decision, the client contacts the service worker to identify the provider. No follow-up is made.

For relative home care, the client designates a prospective provider. The service worker then visits the home and completes a standardized checklist. If the designated provider is approved, follow-up is made every three months.

5-3 RESULTS

No results were available statewide or for the local site visited. It was reported however, that a new recording system is under development.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are established at the state level. Direct implementation, from the securing of applications through the determination of eligibility, is undertaken at the local level.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-non-WIN
- AFDC-WIN
- SSI
- Income eligibles, defined as:
  - Free care for families earning up to 80% of the state median income.
  - Sliding fees for families earning from 80% to 115% of the state median income.
  - Full cost to families earning over 115% of the state median income.

Revisions Since the Passage of Title XX: None were specified.

Materials to Ensure Uniform Interpretations: A guide, developed by the Division of Services to Children and Youth, has been developed and is in use statewide.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms, developed by the state, are in use statewide.

Applications are generally secured by the local level service workers in the process of conducting interviews with applicants.

No data was available on the number of applications received statewide. In Wichita, it was reported that about 700 applications for child care were received. It was stated that insufficient staff was available locally for processing (and verifying) the applications.

Eligibility Determination and Verification: The local level social service workers make the eligibility determination.

Clients are responsible for providing supportive documentation for applications.

For AFDC clients, this fact must be verified against existing records. For clients earning incomes, documentation of gross income must be provided.

Eligible clients can usually begin services within 24-48 hours of the completion of the application. By policy, eligibility must be established within 30 days.

Of the 700 applications for child care processed in Wichita, 500 (71%) were found eligible.

Quality Control: Clients are responsible for reporting changes in earnings or status that might affect eligibility. No standardized quality control procedures have been implemented.

It was felt that there must be a clearer statement of quality control procedures by the federal government.

Redetermination of Eligibility: Eligibility is redetermined every six months. For AFDC clients, the child care plan is also reviewed every 3 months to determine if the plan is still in effect.

Should a client be found ineligible, a letter of notification is sent as well as information concerning right of appeal.

In Wichita, about 42 AFDC clients and about 35 income eligible clients are found ineligible each month.

Appeals: No appeals have been filed in the past year.

6-4 PARENT FEES

Child day care services are free for persons earning up to 80% of the state median income. Parent fees, on a sliding scale, are charged for persons earning between 80% and 115% of the state median income.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state SRS office and the Department of Health have joint responsibility for the development of licensing standards while the local level social services staff and local health department staff have responsibility for the implementation of licensing procedures. Local fire inspectors are also involved in the implementation process.

Staffing: At the state level, coordination of the licensing function is provided by group day care specialists. It was estimated that there is a staff of 1½ full time equivalents assigned to the licensing function in the state Department of Social and Rehabilitation Services. In the state Health Department, it was estimated that one full time equivalent is assigned to licensing.

No estimate was available for the staff allocation to licensing at the local level statewide. In Wichita, 5 staff members are assigned to licensing in the Division of Social Services. In the Department of Health, there are 1½ full time equivalents assigned to licensing.

The minimum educational requirement for the state group care specialists is a master's degree in social work or a related field. At the local level, an undergraduate degree is required in social work or elementary education. In addition, the local workers must qualify for a state license (which requires 120 clock hours of training in day care related areas). On-the-job training is also provided and staff members are encouraged to attend relevant workshops, courses, and meetings.

7-2 STANDARDS

Standards Development Process: The standards for centers and homes were updated in 1975. The state SRS office and the Health Department developed the standards with input from local staff, providers, consumers, and comments received through public meetings. The revised standards were then reviewed and approved by the state legislature.

Out-of-home relative care standards were revised in 1974 utilizing in-house staff input.

Content of Standards:

Staff-Child Ratios

	Ages	Maximum #	Ratios
Centers:			
	infants	9	1:3
	toddlers	10	1:5
	2-3	14	1:7
	3-4	20	1:10
	4-6	20 (full day)	1:10
	4-6	24 (part day)	1:12
	6-16	32	1:16
For mixed age groups:			
	0-6	8 (2 infants)	1:4
	2½-6	18	1:9
	3-6	20	1:10
Group day care homes:	Group Day Care Homes Not A Separate Category		
Family Day Care Homes:			
	0-16	4*	1:4
	2-16	6*	1:6

*includes provider's own under 6 yrs. of age

Additional Components of Standards: In addition to the staff-child ratios, standards also regulate care of children, daily activities, the plant, equipment, health, and safety. Requirements for centers also regulate administration, transportation, admission, nutrition, accident prevention, and care of infants and toddlers.

Comparison of Standards and FIDCR: The staff-child ratios are less stringent than FIDCR.

Currently, Kansas is requiring a separate FIDCR certification for all facilities serving FFP children. For facilities receiving a license for the first time, this involves the completion of a separate checklist which is completed during the licensing visit. For already licensed facilities, the certification effort involves monitoring FFP providers to determine if they meet FIDCR requirements.

It was reported that 50% of the fully licensed day care homes and 58% of the fully licensed centers were FIDCR certified.

The major problem connected with the certification effort is in meeting the staff-child ratios. Providers fear the more stringent and costly FIDCR staff-child ratios without the benefit of an increase in rates. It was also reported that there was an initial dislike of the educational component, but it is felt that this attitude is being replaced by a more "professional" perspective by providers.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total#	#Sanctioned	%Disq.	Planned	Actual
Public Centers	NO PUBLIC CENTERS SERVING FFP ELIGIBLES					
Private Centers	License	739	229 (510 pending)	UNK	Annual	Annual
Group Day Care Homes	GROUP DAY CARE HOMES NOT A SEPARATE CATEGORY					
Family Day Care Homes	License	2,625	1338 (1287 pending)	UNK	Annual	Annual
Relative DCH's *	Approval	860	UNK	UNK	Annual	UNK
In-home	NO IN HOME PROVIDERS SERVING FFP ELIGIBLES					

*The approval for relative home care involves a visit to the home and the completion of a standardized checklist.

Fees for Licenses: A fee of $2.00 is charged for a facility serving up to 4 children. A fee of $5.00 is charged for a facility serving 4 or more children.

Content of License: The license includes:

- Date of issue
- Period for which valid
- Maximum number of children to be served
- Age range of children
- Category of license and limitations

7-4 LICENSING PROCESS

Areas of Investigation: For both family homes and centers, the areas of investigation include:

- physical characteristics of facility
- provider characteristics
- the educational component
- the nutritional component
- the health component
- provisions for handling sick children
- records on staff and children

Extent and Nature of Process: All known providers must be licensed. Operation without a license, under Kansas law, is a misdemeanor.

Most providers are made aware that a license is required through word of mouth, news media, parents, and community agencies. It was also reported that staff become aware of unlicensed providers through complaints.

A structured format is used in the licensing study. For homes, the investigation generally requires three visits by health and social services staff. The average time lapse between the initial SRS and Health Department visits and the issuance of a license is 90-120 days.

Problems cited in the licensing of homes include: a) payment of licensing fee on time, b) time needed by providers to accumulate health certificates for children, c) money needed for obtaining health certificates for the provider and family, d) lack of local staff, e) the plan for daily activities, and f) compliance with local building, fire and safety regulations, and licensing standards.

For centers, generally 6 visits are made to new applicants. It was stated that at least 2-3 visits are made by each the Health Department staff and social services staff. The time lapse between the initial visit and the issuance of a license can range from 150-180 days.

Problems cited in licensing centers include: a) bringing the building into compliance; b) health records on staff and children c) compliance with staff education reporting requirements, d) payment of licensing fee on time, and e) staff:child ratios.

For relative home care, social service workers visit the home several days after the parent designates a provider. A standardized checklist is completed which includes: a) a personal evaluation, b) daily activities, c) working with the children, and d) home maintenance. Generally, the provider is immediately informed of approval (or denial) and the home is re-approved every three months.

Conditional Licenses: Providers are sent a permit upon receipt of application for a license. The provider can deliver services with the permit, but no payment is made for FFP children until a facility has been licensed and certified for FIDCR.

Currently, there is a waiting period of 1-3 months before the initial licensing visit can be made. The temporary permit is valid up to the first licensing visit. At this point, a temporary license is issued until the provider reaches full compliance with state standards. The temporary license is valid up to one year.

Revocations: Recommendations for licensing revocation are sent by local workers to the state Health Department and SRS. The final revocation decision is made jointly by the two state agencies.

The provider is sent a notice specifying the reasons for the revocation along with information concerning the right of appeal within 30 days. The outcome of the appeal can be re-appealed to the district court.

It was reported that the licenses of three centers were revoked betweeen 1973 and 1975. No appeals were filed.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

At the State level, two group care specialists within the Division of Services to Children and Youth have responsibility for monitoring. This primarily involves the state effort to monitor for compliance with FIDCR and to certify facilities meeting federal requirements.

The monitoring/certification effort is being undertaken by state staff with assistance from local personnel. It was reported that the monitoring/certification effort has been completed in two counties to date.

In addition, it was reported that licensing workers at the local level are involved, to a limited extent, in monitoring for compliance with state standards.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored*	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	NO PUBLIC CENTERS SERVING FFP ELIGIBLES					
Private Centers	State Group Care Specialists with assistance of local staff	7%	10%	UNK	Annual	8 hrs.
Group Day Care Homes	GROUP DAY CARE HOMES NOT A SEPARATE CATEGORY					
Family Day Care Homes	State Group Care Specialists with assistance of local staff	1%	2%	UNK	Annual	3 hrs.
In-Home	NO IN-HOME PROVIDERS SERVING FFP ELIGIBLES					

*No estimates were available on the extent of monitoring activities by local staff.

8-3 PROCESS

The state effort to require FIDCR certification began in April, 1975. Under the state plan, only providers which have a valid license and are federally certified, will receive payment for FFP children.

At the state level the two group care specialists review payment vouchers to determine providers serving FFP children. A letter is then sent to FFP providers which are not certified, specifying that certification must be obtained within 30 days. Visits are then made to facilities to determine compliance with FIDCR. The goal under the state plan is to monitor 10% of the FFP providers annually. Follow-up visits are made to non-complying facilities.

At the present time, limited technical assistance is available to providers as a result of the monitoring effort.

8-4 RESULTS

At the time of the survey, it was reported that 10% of the FFP centers and 2% of the FFP homes had been monitored. The areas of greatest compliance difficulty include the staff-child ratios, the health and nutritional components, and staff training.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The state level Division of Children and Youth has primary responsibility for providing training and technical assistance to agency staff at both the area and local level. The state staff also provide TA to centers and homes during site visits conducted as part of the monitoring effort. It was estimated however, that a staff of only 1/2 full time equivalency was available for child care training and a negligible amount for technical assistance.

In addition, area workshops are organized for providers and staff by local colleges and child care associations. The workshops are coordinated by the state staff.

No funds have been budgeted separately for training and technical assistance. It was felt that a greater training and technical assistance effort is needed, particularly for the state's monitoring/certification program.

Local: At the local level, licensing workers are involved in training and technical assistance. It was estimated that a staff of 1/6 full time equivalency is spent providing training and about a 1/4 full time equivalency for technical assistance at the local level. It was felt that this staff allocation was insufficient for training and technical assistance needs.

At the local site visited, it was reported that the Wichita Child Day Care Association was also involved in training.

Staff Background: At the state level, a M.S.W. or M.A. degree is required in family and child development. In addition, experience in program development or program management is desirable.

At the local level, an undergraduate degree is required for the licensing workers.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
Area and Local Agency Staff	State staff (Division of children and youth)	Training; new procedures, Title XX regulations, and administrative techniques to be used by agency staff in implementing the child day care program	3 days per yr.
State, area, and local agency staff	Local colleges and child care assoc. conducted by state staff	Area workshops	UNK

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Center and Home Providers	Local colleges and child care assoc. coordinated by state staff	Area Workshops	UNK
Center and Home Providers	State staff	Site visits; problems arising from the state monitoring effort; also provided upon request	3 hrs.
Center and Home Providers	Local staff	Site visits; problems arising from the licensing and monitoring effort; also provided upon request	1 1/2 hrs.

At the state level there is a training program called "Telenet." This consists of direct telephone lines from Kent State University to 35 local colleges. Telenet courses have been offered on child abuse, creative activities for children, and day care administration. The courses are open to staff and providers with generally 50 or 60 people attending a course per semester. The state day care staff has provided input for the Telenet courses.

In Wichita the Child Day Care Association is also involved in training. This consists of the utilization of consultants for training providers. It was also reported that Child Day Care Associations are involved in providing training elsewhere in the state.

In addition, there is a technical school which offers a child care and child development program leading to an A.A. degree. Staff are asked to complete 15 semester hours at the school of similar course work in another institution of higher learning.

9-3 PROCESS

The methods utilized to identify training and technical assistance needs include:

- requests from providers
- requests from local staff
- problems identified through observation, licensing studies, and monitoring

It was reported that training is also provided as a result of revisions in procedures.

Licensing and eligibility workers were identified as the staff with the greatest need for training and technical assistance. The major areas of need include child development and teaching methods for facility management.

It was stated that providers also need training and technical assistance, particularly in the areas of child development, budgeting, nutrition, and communication with parents.

Training is generally provided through group seminars and meetings. Site visits, direct consultation, and telephone calls were cited as the chief means for providing technical assistance.

9-4 RESULTS

State officials feel that the training and technical assistance effort has been most effective in improving the capabilities of the local licensing staff. There is no systematic follow-up to evaluate the effectiveness of training and technical assistance, however.

9-5 PRINTED MATERIALS

There are three booklets under development by the state. These include a "Handbook for Day Care Mothers," a "Recordbook for Day Care Mothers," and a booklet entitled "Administration of Day Care Centers."

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The state fiscal function is performed by a Finance, Accounts, and Audits unit within the Division of Administrative Services. The unit provides fiscal support for all social services including child care.

Local - At the local level there is a Program Extension and Purchase of Service Unit which is responsible for forwarding provider information to the state unit, and monitoring expenditures of area allocations for purchase of child care services.

Function: The fiscal unit's functions are non-programmatic and are limited to fiscal support to SRS. The unit established the rate for provider payments and supervises the reimbursement process.

10-2 FISCAL MATERIALS

Fee schedules, rate schedules, provider billing forms, attendance forms, and explanatory guides have been developed and were rated as good by state personnel. A line item budget form is used and was rated as potentially excellent, but was too bulky. A cost statement form was rated as poor because it was not sufficiently specific for child care. Contract forms are currently being revised.

At the local level all forms were rated as good.

10-3 INCOME SOURCES

Source	FY 74-75%	FY 75-76%
Title XX/IV-A	$3,520,417 (88%)	$7,042,515 (94%)
WIN	493,372 (12%)	462,567 (6%)
CWS	NONE	NONE
Unmatched State Funds	NONE	NONE
Total	$4,013,789	$7,505,134

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (contracted facilities)	$1,234,712
Vendor Paid Facilities	$2,285,705
Direct Provision/Operation	NONE
Client Purchase, With Social Service Reimbursement	NONE
TOTAL	$3,520,417

Description of Funding Methods/Processes:

A. Purchase of Service: The state purchases services through vendor payments and contract payments.

A limited vendor payment agreement is utilized to secure arrangements with providers. This is an abbreviated contract formulated in accordance with state and federal guidelines.

The state also purchases child care services through a contract with a day care association which functions as an umbrella agency subcontracting with centers and homes. The subcontractors must be approved by SRS, but the umbrella agency has final responsibility for the subcontractor performance.

The contracted agency submits a proposal, including cost data and number of FFP children to be served, to the State Division of Services to Children and Youth. Payments are made monthly on a cost-reimbursement basis.

Contracts are managed by a staff member in the state Division of Services to Children and Youth. Vendor agreements are administered at the local level by a Purchase of Service Unit.

Quality control procedures used in paying provider invoices include editing for corrections and checking the invoices against existing records at both the local and state level. The local Purchase of Service Unit forwards the invoices to the state level where provider checks are issued. In the event of an overpayment the subsequent month's payment is reduced accordingly or a refund is requested.

Generally, the length of time between the receipt of an invoice and the issuance of a provider payment is two weeks.

B. Direct Provision: none.

C. Client Purchase: none.

10-5 RATE ESTABLISHMENT

Unit of Measurement: per day (absences are paid up to 10 days per month).

Provider Type	Rates		
	Basis	Maximum	Range
Public Centers	NO PUBLIC CENTERS SERVING FFP ELIGIBLES		
Private Centers	Actual cost based on cost statement submitted by center	$5.50/day	$3.85-$5.50/day
Family Day Care Homes	Survey of homes to determine competitive rate paid by private elements	$3.85/day	NO RANGE
Group Day Care Homes	GROUP DAY CARE HOMES NOT A SEPARATE CATEGORY		
In-Home	NO IN-HOME PROVIDERS SERVING FFP ELIGIBLES		
Relative Out of Home Care	Decision based on available funds	$3.00/day	NO RANGE

10-6 IN-HOME CARE

No in-home care has been provided in FY 75-76. Instead, relative out of home care is utilized. No payment is made if the relative cares for the child in the child's own home, or if the relative lives in the child's home.

10-7 INCOME ELIGIBLES AND PARENT FEES

Parents earning incomes up to 115% of the state median income are eligible for child care services. Free services are available up to 80% of SMI. Fees, on a sliding scale, are paid between 80% and 115% of SMI. The full cost of child day care services is paid by parents with income above 115% SMI.

10-8 DONATIONS

To date, a total of $338,250 has been received from donations for FY 75-76. Donated funds are allocated as the local share of federal matching funds for the operation of contracted providers.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Human Resources is the umbrella agency designated to administer the state's social service programs. The Department is composed of four program and one administrative support bureaus. Responsibility for managing the state's child day care program, as well as other social service programs, rests with the Bureau of Social Services. Within the Bureau, several branches participate in various aspects of the management of child day care services.

AFDC recipients are referred by the Bureau for Social Insurance to the Bureau for Social Services for assessment of service needs and the provision or arrangement for needed services.

Fiscal management is the responsibility of the Bureau for Administration and Operations (BAO), a separate administrative support unit for all departmental programs, including child day care. Its Issuance and Control Unit provides program staff with fiscal data, review of proposed program expenditures, development of cost estimates on new services and vendor payments. Licensing is also a function of the BAO through the Division of Compliance and Certification. A staff position, presently vacant, exists for a liaison person between the Bureau of Social Services and the Bureau of Administration and Operations.

The state is divided into four regions and 120 counties. It is also divided into 15 geographic districts for the purpose of planning and service delivery. In each of the districts there are county offices of the Department for Human Resources, within which are several teams of 5-7 social service workers each, with the responsibility for providing multiple social services, including day care. These teams are under a social services supervisor who is responsible to the district manager. Eligibility for services is determined by the Bureau for Social Services, unless specifically included in the contract with a provider of services.

The Kentucky site visit was conducted in January, 1976. Interviews were held with 10 state staff and with 4 local staff in Jefferson County.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	Allocation of Funds	
	FY 74-75	FY 75-76
Total Social Services Allocation	$42,400,415	*$52,725,055
Total Child Care Allocation	2,300,702	*3,315,972
Percentage of Total Social Services Funds Allocated to Child Care	5.4%	6.3%

*State Title XX plan, projected from 9-month program year to 12 months. The 75-76 Child Care Allocation includes normal day care and counseling.

At the state level, approximately 29 FTE were estimated to be involved in aspects of child day care. At the local level, no estimates of level of effort could be given.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Providers	Number FFP children	Expenditures	
			FY 74-75	FY 75-76
Public Centers				
Private Centers	683	2,176	$2,300,702	$3,315,972
Group Day Care HOmes		5		
Family Day Care Homes	--	--	---	---
In-home Care	--	--	---	---
TOTAL	683*	2,181	$2,300,702	$3,315,972

* Does not include WIN day care.

All facilities in the state are open to and generally serve a combination of FFP-eligibles and non-eligibles.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	Family and Individual	local
Standardized Social Service Forms	yes	Family and Individual	state, local
Computerized Records	yes	Family and Individual	state

Extent of Data: All information pertaining to client identifiers, goal data, eligibility status, demographic descriptors, type of services, quantity of service, service plan, cost of service, parent fees, employment status and educational level are contained in the local narrative social service case records, in the standardized state and local social service records, and in the computerized records; all data is, thus, highly accessible at the state level.

Data Aggregation: Data is collected at the local level and compiled at the state level, with much of the information keypunched and computerized when the state receives it. The computerized information system was first implemented in October, 1975, and no reports had been generated at the time of the site visit. The first full report to come out of this new system is due in March, 1976. The system is geared towards meeting SSRR and no problems are anticipated in retrieving the required information.

1-5 STATUTES

None, other than those reflected in the licensing regulations.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

State respondents noted that the upgrading of day care centers in order to conform with FIDCR is their most pressing problem at this time. They are also wrestling with the problem of developing a client fee payment system which would permit all those needing services to receive them, while not increasing the overall cost of services to the state.

State staff were pleased with their consumer education effort, the effectiveness of the field staff system, and the extent of citizen involvement in child day care.

The local staff noted that a poor communications network among the state agencies inhibited the flow of information from the state to the local level; however, they were pleased with the coordinated training effort of state and local staff and felt it had improved the quality of day care services throughout the state. They also commended the strong 4 C's organizations in the state for assisting in the management of child day care within the community. (4 C's organizations often contract with local day care centers and assume the responsibility for enforcing state standards and providing training and technical assistance to the centers.)

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: An inter-divisional Title XX planning committee coordinated input from state agencies and public and private organizations in the state.

There was a strong emphasis on review of statistical data or existing services, compiled by the Bureau for Social Services. There was not enough statistical information to develop a needs assessment by geographic area and the needs of the people of Kentucky were considered on a statewide basis.

Staffing: It was estimated that 1 FTE was utilized in this effort over 140 days.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Extensive Usage	Bureau for Social Services and Bureau for Social Insurance (AFDC) in-house statistics were reviewed, as was data sent from other state agency records.
In-house Agency Personnel	Utilized to some Extent	Specialists in each program area provided input into the planning process.
Community Agencies	Limited Usage	Kentucky Citizens for Child Development and Council for Bureau for Social Insurance, were consulted for input.
Service Providers	Limited Usage	Letters were sent to providers requesting needs assessment; however, no formal survey of all providers was undertaken.
Consumers and Gen'l Public	Not Utilized	

Due to time constraints and limited statistical data by geographic area, the data used to develop the needs assessment was extracted primarily from the Bureau for Social Services on-going statistical record system. This needs assessment did not reflect statewide consumer needs as intended by Title XX. A more extensive and accurate needs assessment, by geographic area, is planned for the next program year.

2-3 RESULTS/UTILIZATION

Specific numerical results were generated in relation to the number of clients needing each service and the number of clients in each income bracket. The latter statistics were utilized in the development of a sliding fee scale for services.

Degree of integration into planning process: The needs assessment was reviewed in order to set objectives for the development of the state Title XX plan. However, since the state had limited existing data on needs in Kentucky, the needs assessment was primarily focused on current services availability and clients presently being served by the Bureau for Social Services. For future planning efforts, the state hopes to design and implement a data collection instrument for needs assessment and a service provision reporting instrument.

Unmet Needs: The major unmet need was identified as insufficient availability of affordable child day care for clients whose incomes are only slightly in excess of the income eligible level set by the state.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: Social Services planning prior to Title XX was limited to developing annual budget and service projections. The task was usually assigned to one administrative staff member. No major child day care planning efforts were undertaken prior to Title XX.

Title XX Planning: Title XX planning was the responsibility of an inter-divisional Title XX planning committee composed of staff members of the various social service programs with additional staff from the Bureau of Administration and Operations. The Commissioner of the Bureau for Social Services headed the committee.

Staffing: The number of staff assigned to the Title XX planning effort could not be ascertained.

3-2 PLANNING PROCESS

The Title XX planning process required more hours and a greater number of staff in a shorter period of time than previous planning efforts. The task was more defined and the required public review added depth to the process. Child day care planning was no more extensive than other social services planning.

WIN and Title IV-B planning was interfaced with Title XX planning; a decision was made not to supplement cutbacks in WIN funds with Title XX money, and Title IV-B programs were planned to supplement Title XX funded programs by providing those child welfare services not allowable under Title XX.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total number to be served	yes	yes	2,350	more
Population Categories to be served	yes	yes	AFDC - 1,150; SSI - 100; income eligibles - 1,100	more
Priority Population groups	no	no	---	--
Service Provider Types	no	no	---	--
Special Provider attributes	no	no	---	--
Geographic Areas	no	no	---	--
Dollars Allocated for service (12-mo.)	yes	yes	$3,315,972	more

465

Planned Organizational Changes: none.

3-4 UTILIZATION/IMPLEMENTATION

The addition of income eligibles increased the number of children to be served by the first Title XX plan, and necessitated the development of a sliding fee scale.

4. EVALUATION

No child day care evaluations have been conducted.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

No specific state or local level agency has the responsibility for providing information and referral services.

At the state level, information and referral is the responsibility of the licensing staff within the Bureau for Administration and Operations; at the local level, social service workers, day care social workers, income maintenance workers, SAU-WIN staff and locally assigned state licensing staff all provide information and referral when needed.

In the Louisville, Kentucky area the Human Services Coordination Alliance is involved in providing an I&R service for all social services as part of its contract with the state to provide day care services. This appears to be the only instance of this type of arrangement in the state.

The social service workers, day care social workers and licensing workers were identified as the most heavily utilized sources of information and referral.

5-2 PROCESS

Assembling Information:

Information

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	every month	yes	no	no	no
Homes	none					
In-home	none					

The state Issuance and Control Unit assembles information on facilities statewide and distributes it to various state social services divisions.

The district assembles information on its providers through the state licensing worker placed in the district. District lists are mailed to local staff who request it.

Disseminating Information: There are no formal outreach attempts by Bureau for Social Services. Lists of providers are mailed to public and private agencies but not to individuals. Individuals are given names of centers upon request. The local 4 C's disseminate information through television, radio and newspaper advertisements.

Assessing Client Need/Referral and Follow-up: The county day care social worker assesses the need for child day care based on the child's age, personality/developmental level, location and availability of transportation. The assessment process is the same for all eligible clients, whether eligible on the basis of income or eligible on the basis of AFDC/SSI participation. If slots are available in contract centers, clients are encouraged to use these slots.

In the income eligible situation, the client often decides on the center before visiting the day care social worker, who then confirms the placement. If this is not the case, the provider is decided upon at the time of assessment. The parent is encouraged to make a pre-placement visit, but it was noted that the parent usually doesn't do this. If the arrangement proves unsatisfactory, the client can request a different provider.

In AFDC/SSI cases, the client's social services worker makes arrangements with any of the local contracted centers for placement. The social services worker provides the client with the pertinent information regarding the agency. If the day care social worker's assistance is needed, it is asked for by telephone.

Both categories of clients have contact with one worker throughout the process. The assessment process was estimated to take 2 hours.

In-home care referrals are made only by WIN workers and the process was not identified. The state does not pay for in-home care from Title XX funds; the WIN account is utilized to fund all in-home care for WIN participants.

5-3 RESULTS

The state has no records on the number of requests for information and referral or the effectiveness of the system.

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* The assessment process is the same for all eligible clients, whether eligible on the basis of income or eligible on the basis of AFDC/SSI participation. If slots are available in contract centers, clients are encouraged to use these slots.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Both the establishment of eligibility regulations and the development of standardized application forms are the responsibility of the Program Development Branch in the Bureau for Social Services. The securing of applications and determination of eligibility are carried out by the county social service workers for AFDC/SSI clients, and by the day care social workers for income eligible clients. A fee schedule has been developed but not implemented as of January, 1976.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- SSI
- Income eligibles: defined as families whose income is not in excess of 80% of the state's annual gross median income adjusted for family size (80% is $9,144 for a family of four).

Child day care services are free for those families whose income is not in excess of 21.8% of the state's gross annual median ($2,500 for a family of four).

Those families with incomes between 21.9% and 80% must pay a fee based on a sliding fee scale (For a family of four, the fee charged for one child per day ranges from $.25 to $2.50).

There are no designated population priorities for services in the state.

Revisions Since The Passage of Title XX: none.

Materials to Ensure Uniform Interpretations: A guide for determining eligibility under Title XX was developed by the Program Development Branch of the Bureau for Social Services and is in use throughout the state.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms developed by the state Program Development Branch are used throughout the state. Applications by income eligibles are collected by the day care social worker at the asessment interview. Applications by AFDC and SSI clients are collected by the social services workers and remain in the client's file.

The number of applications for social services, including day care, is not known.

Eligibility Determination and Verification: The client is considered the primary source of information and is responsible for providing the documentation requested by the social services or day care services worker, who makes the actual determination of eligibility. The client must also notify the worker of any change in status affecting eligibility.

Clients begin to receive services immediately after eligibility has been determined and placement arrangements made, usually the same day as application.

The time lapse between application completion and determination of eligibility ranges from less than a day to ten days, depending on local staff constraints.

The percentage of clients found eligible for services is unknown statewide. In Jefferson county it was estimated that approximately 85% of all applicants are found eligible.

Quality Control: Clients are responsible for reporting changes in earnings or status that might affect their eligibility. No standardized quality control procedures have been established.

Redetermination of Eligibility: Child day care at the local level is usually authorized for 3 to 4 months and is then discontinued if the client does not notify the worker of a continued need for services.

When clients are found ineligible, services are terminated. A complain form is available to the client if requested.

Appeals: No appeals were filed in the past year.

6-4 PARENT FEES

Although a sliding fee scale had been developed by the state, no procedure for fee collection had been established at the time of the site visit in January, 1976. The state expected to implement the fee payment schedule by March 31, 1976.

Since the state has set a maximum of $4.00/day that it will pay for day care services for one child attending full time, the parent must often pay the difference between this $4.00 rate and the more prevalent $5.00-$6.00 rate actually charged by a provider agency in order to place the child.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: State standards were updated by the Bureau for Social Services (July 1975). The Bureau for Administration and Operations also in the Department for Human Resources, is responsible for enforcement of all day care licensing standards.

In the new standards there is no longer any family day care home classification. Homes serving less than 4 children are not regulated by the state. There is also no license required for in-home care, which is used exclusively for WIN participants.

A license is required for day care centers and group day care homes (GDCH). A GDCH serves 4-12 children and is regarded by the state as a small center; centers can serve 4 or more children with no maximum number specified in the state standards.

The licensing function is organized within the Bureau for Administration and Operations in three of its branches: the Compliance Review Branch, which reviews licensing studies and approves licenses; the Issuance and Control Branch, which issues licenses and keeps provider records; and Field Operations, which supervises 24 locally placed licensing staff in 4 regions through 4 regional supervisors.

Staffing: 24 licensing workers statewide spend the majority of their time in child day care licensing, but also license other facilities and provide some technical assistance to all types of facilities licensed. In all, about 20 FTE are allotted to day care licensing activities. Licensing workers can recommend license denials and revocations, with final authority vested in the administrative review officer and the Commissioner of the Bureau for Social Services.

The minimum educational background for licensing supervisors in an M.S.W.; other licensing staff are hired on the basis of examinations and usually have a B.A. and/or training, and work experience in early childhood education. There is a plan to begin on-the-job training; presently the staff is encouraged to attend workshops in licensing.

7-2 STANDARDS

Standards Development Process: State standards were revised in July 1975 by administrative and field staff of the Bureau for Social Services. Input was received from a subcommittee of day care providers and consumers, as well as from the state licensing staff. The Day Care Advisory Committee, appointed by the Governor, approved the new standards.

Content of Standards: The standards govern the provision of day care services by day care centers (i.e., more than 4 children) and group day care homes (i.e., 4-12 children). The number of children permitted on the license must include the preschool age children of day care staff.

Staff-Child Ratios

	Ages	Ratios
Centers: minimum number - 4; maximum number - not specified		
	under 1	1:6
	1-2	1:6
	2-3	1:8
	3-4	1:10
	4-5	1:12
	5-7	1:15
	8 or older	1:20
If more than 1 staff member present (mixed age groups):		
	under 2	1:6
	2-6	1:10
	6 and older	1:15
Group Day Care Homes: Minimum/maximum: 4-12	ratios same as above	
Family Day Care Homes:	none	

Other components addressed:

- Records, including medical history of children and staff, attendance, staff working hours
- Staff qualifications
- Physical plant, including building grounds and equipment
- Program areas, including discipline and health
- Infant and toddler care
- school age and night time care
- transportation

Comparison of Standards and FIDCR: Kentucky's standards reflect FIDCR with the following exceptions:

- no license is required for facilities serving fewer than four children;
- staff/child ratios are less stringent;
- special sections, not included in FIDCR, regulate infant and toddler care, school age and night time care, and transportation.

There is no FIDCR certification process in the state. All centers in the state serve a combination of FFP-eligible children and non-eligible children, and there is no state procedure to enforce FIDCR compliance. The 35 contracted centers, of which 10 are under the umbrella of local 4 C's organizations, do conform to FIDCR, primarily because these local groups enforce FIDCR compliance to ensure quality child care.

When licensing standards were undergoing revision, providers expressed unwillingness to support FIDCR staff/child ratios, commenting that it would be too costly for already financially overburdened facilities. Many providers stated that they would be forced to close or would not serve FFP children if they were compelled to comply with FIDCR. State standards reflected this opinion.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required	Providers			Renewal Freq.	
		Total #	% Lic.	% Disq.	Planned	Actual
Private Centers	License	683	100%	none	annual	annual
Group Day Care Homes	License		100%	none	annual	annual

Fees for Licenses: State regulations specify payment of a $25.00 fee for all new facilities and a $10.00 fee for annual renewal.

Content of License: for centers and group day care homes:

- Effective date
- Expiration date
- Capacity
- Type of license (regular or provisional)

7-4 LICENSING PROCESS

Areas of Investigation and Extent and Nature of Process:

All centers and group day care homes must be licensed. The procedure for receipt of this license is as follows:

- Prospective provider calls or visits the Department for Human Resources to obtain a copy of the licensing regulations and an application form.
- Potential provider submits completed application and fee.
- Fire marshal and health department inspections are requested.
- The provider secures equipment, staff and necessary supplies to serve the requested number of children.
- Provider receives "permit to open" and can begin serving children.

- Within 60 days of issuance of this permit, the regular licensing study is performed. Areas of non-compliance are outlined and the provider is informed of them in writing.
- A time table for compliance is set, usually 10 to 30 days, but can be granted up to one year; technical assistance is provided.
- If the deficiency is corrected, a regular license is issued for the period of one year.

The fire and health departments usually require one visit each to inspect a facility. At least two visits are usually required by the licensing staff.

The primary factors which delay issuance of a license are: child-staff ratios not in accordance with standards; fire equipment not up to standards; food service not up to standards. Centers are also expected to have at least 2/3 of the number of children for which they applied to serve already enrolled, before the license is granted.

Follow-up consists of frequent visits to each center, for consultation by the licensing staff. Only the 35 centers in contract with the state are, in addition, monitored once a year.

Conditional Licenses: In lieu of this, all providers are initially given "permits to open" and, on the basis of the licensing study which follows within 60 days, licenses are issued. This "permit to open" requires standards compliance within 10-30 days, but it is often extended up to one year.

In Louisville, 181 requests for licensing standards were received in one year; this includes all persons interested and not only potential providers. Of this number 8 facilities requested and received permits to open, and all were issued licenses at some point within the year. No other statistics on volume of requests was available in the state.

Revocations: When the state becomes aware of aspects of non-compliance, the facility in question is notified by letter of the area of non-compliance, along with a target date for compliance. A follow-up visit is conducted by the licensing worker. If this leads to a recommendation made to the Secretary of the Department for Human Resources, the provider is informed of the decision to revoke the license and of the right to a fair hearing within 15 days. The facility must be closed if the appeal fails.

In Louisville, 2 licenses were revoked in 1974, the providers appealed but were requested to close, upgrade the facility and then re-apply. Two licenses were revoked in 1975 for sanitation reasons.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Staff of the state Standards Branch within the Center for Aging and Community Services Development, a part of the Bureau for Social Services, are responsible for monitoring multiple social services, including child day care, statewide. No monitoring is done at the local level.

Two state staff are situated in each of the 4 regions. Only contracted centers are monitored. It was estimated that 20% of each monitoring staff member's time is spent on day care monitoring. The state personnel viewed the current staff allocation to social services monitoring as insufficient and expressed a need for an increase of 4 monitors, one more per region.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By whom monitored	#/% Monitored	Frequency	Av. Time per unit
Contracted Day Care Centers	Monitors from the Standards Branch	100%	Annual	1½-2 days

An observation guide, developed by staff in the Standards Branch, is used as the monitoring instrument; the provider is notified of the date of monitoring.

8-3 PROCESS

All monitoring reports are presented to the Resources Development Branch of the Center for Aging and Community Services Development, for initiation of corrective action where needed. A summary of the Resources Development staff's findings is returned to the monitoring staff as a guide for the next visit and as a tool for federal audits.

The areas of non-compliance and compliance are specified by the resource developer. A list of areas where technical assistance (T.A.) is needed is drawn up. T.A. is provided by state or local staff, or the local 4 C's organization if they are involved in the management of local day care centers. A target date for compliance is set with a follow-up visit made to validate any changes. The local 4 C's organization usually sends and educational specialist to the center to provide T.A., and does its own yearly monitoring reports, on those centers it contracts with, requiring compliance with state standards.

8-4 RESULTS

State staff report that most providers are in substantial compliance with state standards, FIDCR, and the specific provisions of their contract with Department of Human Resources.

The areas of greatest compliance difficulty cited are in meeting staff-child ratios; developing parent involvement; record keeping; and meeting building safety codes.

In the future, monitoring results will be shared with the Program Development Unit to aid in the development of new regulations. Better interstate lines of communication are needed, the staff stressed, in order to share information on monitoring practices and results.

If compliance is not achieved, a process to revoke the license can be initiated, after notifying the provider of appeal rights.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Family Services specialists in the Family and Children's Services Branch of the Division of Field Services are primarily responsible for providing training and technical assistance to state field staff and to local staff. No distinction is made between training and technical assistance; approximately 2½ FTE's are allocated to the task at a budget of about $6,500.

Local: Generally the local social services workers in the Bureau for Social Services, and the state licensing field staff are involved in providing training and technical assistance at the local level. The time allocated for child care training in Louisville by the three day care consultants is 1-3/4 FTE. The local staff has no information on the state's budget allocation for training and technical assistance.

Staff Background: State staff generally have a M.S.W. and supervisory experience; some have been staff in the state's training branch.

Local staff are required to have a B.A. in any field, to pass the state's merit test for social workers, and to possess some background in child development and early childhood education. Specific training skills are acquired through supervision by experienced day care consultants and through workshops.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
Field staff, licensing	Day Care Consultants	Workshops, consultation in procedures, management, child development and supervisory skills	unknown
Local staff, (social service workers)	State staff, local school of social work	Workshops, seminars, personal consultation; covering procedures, forms, child day care knowledge, technical training for Title XX, supervisory skills	unknown
Local staff, social services team-leaders, supervisors, district managers	Regional day care staff	Purchase of care procedures; format not known	unknown

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Center providers, 113 centers in three counties	Local staff, state staff, 4 C's staff	Direct consultation upon request, in all areas, plus day and evening workshops. (4C's staff only gives T & TA to 4 C's centers.)	once or twice a month
Center providers	state staff, local staff	Unit training courses of 6-8 weeks duration, required for center license; child development, day care management	120 hrs.

9-3 PROCESS

The methods used to identify training and technical assistance needs include:

- reports from monitor's field trips
- reports from licensing specialist's field trips
- requests from providers, who complete a "request for day care consultation" form
- requests from licensing staff as a result of new regulations or problems encountered in the licensing-relicensing procedure
- requests from local staff as a result of difficulties with procedures
- in addition, provider training is seen as necessary on a continuous basis; providers are required to undergo training for licensing and re-licensing purposes.
- after revisions in state manuals, training is always presumed necessay to up-date the staff.

Local social services staff, licensing staff and center providers were identified as the groups with the greatest need for training and technical assistance. The major needs among providers are for training in management procedures, curriculum areas, and child development of infants and school age children.

Among staff, the greatest need is for training in child development and early education areas, and the acquisition of skills for the assessment of provider needs, actual training of providers, and assessment of training effectiveness.

Site visits, direct consultation, telephone calls, and letters are the chief means of providing technical assistance.

Training is usually provided through seminars and workshops.

9-4 RESULTS

State staff noted that training was still very basic, not geared to the special needs in child day care. No systematic follow-up to evaluate the effectiveness of training and technical assistance is conducted, although an attempt is made through the use of an evaluation form -- completed immediately after each training session by the participants.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by staff of the Bureau for Administration and Operations within the Department for Human Resources. It provides fiscal support for all social services including child care.

Local - There is no unit responsible for fiscal management at the local level. All local fiscal information is forwarded to the state fiscal unit for processing.

Function: The state fiscal unit functions as a support unit for the Bureau for Social Services. Fiscal staff provide program staff with fiscal data and review projected costs of new or revised programs. Program personnel determine dollar allocations. The Bureau for Social Services Commissioner reviews the determinations. The fiscal unit's major activity is processing claims for the agency's multiple social service programs. The fiscal unit is physically separate from the Bureau for Social Services; a liaison position between the Bureau for Administration and Operations and the Bureau for Social Services is currently vacant and state staff noted that poor communications between fiscal and program components has resulted.

10-2 FISCAL MATERIALS

All materials are available and regularly used. Most were developed in the Bureau for Social Services. The provider billing forms and audit report forms were developed by the Bureau for Administration and Operations. Forms were rated good by state and local staff.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/IV-A	$2,300,702	$3,315,972
WIN	431,533	unk.
CWS	-0-	-0-
TOTAL	$2,732,235	$3,315,972

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service Contracted Facilities	609,724
Vendor-Paid Facilities	1,690,978
Direct Provision/Operation	none
Client Purchase, with social service funds	none
Client Purchase, with income maintenance funds	unk.
TOTAL	$2,300,702

Description of Funding Methods/Processes:

A. Purchase of Service: There are two types of purchased day care in the state, delineated by contract payments and vendor payments.

There are 35 centers in the state under contract, either as primary contracts or as sub-contracts of a community group, such as a 4 C's organization.

The Resources Development Branch of the Center for Aging and Community Service Development is responsible for contract management; 2 staff members are allocated full time to this effort. This branch requests a budget and program description from potential providers. The provider must also show potential donor funds totalling 25% of the proposed budget, since the state does not match the 75% federal share. If the Resources Developemnt staff decides the potential provider's services are needed, an approval request is made to the fiscal and legal sections and to the Secretary for the Department for Human Resources (DHR). After this approval, the contract is negotiated and services can begin.

Sub-contractors are required to follow the same standards as the prime contractor with ultimate responsibility for contract compliance resting with the prime contractor.

The state purchases care from 194 private centers through direct vendor payments to the providers. A limited agreement is used to secure arrangements with these providers. It is an abbreviated contract formulated in accordance with general state guidelines -- i.e., licensing requirements. However, these are not specifically mentioned in the agreement.

All payments to providers are the responsibility of the Issuance and Control Unit of the Bureau for Administration and Operations.

The quality control procedures used in processing provider invoices include a local check of the monthly invoice submitted by the provider against the agreement that was negotiated; this invoice is then sent to the state fiscal unit. Staff of the fiscal unit record payment to each center according to an identification number assigned to the center. Errors in payment would be noticed during this process, according to fiscal staff.

The fiscal staff audits all social services, including child day care. An attempt is made to audit at least once per year.

The normal time lapse between receipt of an invoice and issuance of payment is 10 to 15 days.

In the event of an overpayment, the fiscal staff would deduct the amount from the next months's invoice or request the balance from the provider.

B. Direct Provision: none.

C. Client Purchase: Income maintenance funds are used to pay for child care. Income disregard is the most common procedure, although add-on funds are sometimes utilized. Information on the amounts spent by the state for client purchase is not available at this time. The client must be in training or attending school in order to qualify. The client must submit tangible evidence to show that day care payment was made.

10-5 RATE ESTABLISHMENT

Unit of Measurement: per child day -- more than 5 hours.

Provider Type	RATES		
	Basis	Average	Range
Centers & Group Day Care Homes	Contract: actual cost including administrative costs	over $4/day	$3.31-$8.61
	Vendor payments: based on available funds, budgetary allowance	$4/day	flat fee
Family Day Care Homes	none		

The maximum rate permitted for vendor payments is $4.00/day. This rate is considered too low; the average rate charged by centers is $6.00/day in cities, $5.00 day in rural areas. At the time of the site visit, a $5.75 daily rate was being negotiated. The parent often pays the difference between the rate paid by the state and the rate charged by the center, in order to be able to place the child.

10-6 IN-HOME CARE

There is no in-home care provided from Title XX funds. All in-home care is paid through the WIN account and is not governed by state standards.

10-7 INCOME ELIGIBLES AND PARENT FEES

Families with gross annual incomes not in excess of 80% of the state's median income, adjusted for family size, are eligible for publicly funded day care services; those with incomes below 21.8% of the state median (gross annual incomes of $2,500) receive free services while those with incomes between 21.8% and 80% must pay a fee according to the developed fee scale (families of four with incomes between $2,501 and $1,144 must pay between $1.25 and $12.50 per week for one child receiving day care services).

According to respondents, this fee scale is not in operation statewide; staff use the older definition of "potential recipient" to determine fees in some areas.

The fee is paid to the provider; the total amount collected is unknown.

10-8 DONATIONS

Contracting centers must find local donors for 25% of their budget, as the state does not provide the 25% needed to receive matching federal funds. The local funds are paid to the state's fiscal unit in installments; 10% of the total local donor funds are charged by the state for its administrative services, and are not matchable with federal funds. A total of $151,844 was received in FY 74-75. The greatest amount came from United Way of Louisville ($84,324), providing the 25% necessary to maintain ten local 4 C's centers.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Louisiana Health and Human Resources Administration is the designated state service agency. The agency consists of a Commissioner and Deputy, an Advisory Board, a Division of Management, and 9 program divisions.

Responsibility for all child care services is vested in the Division of Family Services. Basically, policy formulation occurs at the state divisional level while implementation occurs at the local level.

A Planning and Policy Formulation subunit of the Division of Family Services was responsible for the development of the Title XX plan with input from a subunit within the Division of Management.

The fiscal function is handled separately by a Management Finance Division.

Statewide, there are 10 area offices of the Division of Family Services. Each area office consists of multiple Parish offices.

The area Family Service offices are headed by Social Service Consultants. In Lafayette, which includes 7 Parishes, there was also a Welfare Case Supervisor and 3 service workers.

The area service workers are responsible for licensing centers. Statewide, it was estimated that the equivalent of 19 area workers are assigned to licensing centers.

There are 64 Parishes in Louisiana headed by Parish Administrators. Parish level service workers approve Family Day Care Homes. Information on the number of Parish workers involved in child day care was unavailable.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	Not available at this time	$58,905,537
Total Child Care Funds (Titles IV-A/XX)	Not available at this time	$12,694,873
Percentage of Total Social Service Funds Allocated to Child Care	unk.	22%

The Louisiana site visit was conducted in February, 1976. Interviews were conducted with staff in the state office and with local personnel at one site.

The Comprehensive Annual Service Program plan (CASP) for 1975-76 is a 21-month plan (October 1, 1975 - June 30, 1977). Figures shown in the plan for Social Services and Child Care are $103,084,693 and $22,216,028 respectively. These figures have been annualized by dividing by a factor of 1.75. The plan provides for direct care and protection of infants, preschool and school age children.

At the state level, there is the equivalent of 1½ staff members assigned to childcare. At the area level, there are 19 full time equivalents assigned to licensing. In addition, the 10 Social Service Consultants spend about 10-15% of their time on child day care selected activities. Information on the number of staff at the Parish level was not available.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers (Contract Centers)	22	1,060	Not Available at this time.	$3,747,562
Private Centers	832	4,124	$2,708,235	3,229,410
Family Day Care Homes	437	656	269,814	
Group Day Care Homes	This category not utilized.			
In-Home Care	In-home care not utilized to serve FFP eligibles.			
TOTAL	1,291	5,840	unk	$6,976,972

*Includes all licensed, approved or otherwise sanctioned providers.

It was reported that the discrepancy between the expenditures for FY 75-76 and the amount allocated for child care ($12,997,873) results from the fact that many contracts for child care services are still being negotiated.

1-4 INFORMATION SYSTEM

Nature of Records

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	Yes	Family	Local
Standardized social service forms	Yes	Family	Local
Computerized records	Yes	Family	State and Local

Extent of Data: Narrative and standardized social service forms are maintained at the local level. There is also a computerized information system maintained at the state level.

All data is substantially complete.

Data Aggregation: Data is collected at the Parish level on forms designed for keypunching. The forms are forwarded to the state which processes the data and incorporates it into a Case Management System. This system produces reports on services delivered by category of population served, by goal, method of service provision, costs, fees, numbers of adults and children served, and by certain special areas (e.g., child abuse, neglect, etc.). Reports are forwarded to Parish offices.

It was reported that the Case Management System will enable the state to conduct an on-going needs assessment which can be used to amend the plan during the current program year and can be used for planning for the next Title XX program year. This is accomplished through an identification of services that clients currently request, a listing of barriers, and the goal at which each service is directed.

In addition to the systems input for conducting needs assessment and for planning, the system can be utilized to prevent duplication of services and to monitor the provision of services under Title XX.

1-5 STATUTES

In addition to statutes regulating licensing there are regulations for fire and health.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Problems cited include:

- Need for additional staff for centers, in order to achieve compliance with staffing requirements
- Need for training programs for staff and providers
- Legal authority to revoke licenses and close provider facilities
- Clarification of the length of time a provider can operate without a license
- Inadequacy of present rates of payment for providers

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Department of Planning and Policy Formulation (within the Division of Family Services) was responsible for coordinating the Title XX needs assessment with input provided by the Office of Social Services Policy (within the Division of Management). A Social Service Advisory Committee was also involved in the needs assessment. The committee, which includes AFDC recipients, state legislators, social workers, teachers, attorneys, a nurse, and representation from such groups as a School of Social Welfare, the Epilepsey Foundation, the Foster Parents Association, and the elderly, provides on-going input to the Health and Human Resources Administration.

Basically, the needs assessment and the planning effort were undertaken simultaneously through a series of meetings. This included input on needs from "health and human services program administrators in HHRA, private service agencies, public service providers, and other state agencies."

In addition, data secured from the Office of State Planning, census data, and data from certain outside agencies was utilized in assessing needs.

Staffing: It was reported that the needs assessment and the Title XX planning effort were intimately associated in a single process over 5 months. Two staff members from the Dept. of Planning and Policy Formulation and four staff members from Social Services devoted a full time effort to the needs assessment/planning effort. A considerable part time effort was also provided by other staff.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Utilized to Limited Extent	Utilization of Census Bureau Publications, updated census data, and data supplied by outside agencies.
In-house Agency Personnel	Utilized to Some Extent	Included in state meetings
Community Agencies	Utilized to Some Extent	Included in state meetings
Service Providers	Utilized to Some Extent	Included in state meetings
Consumers	Utilized to Limited Extent	Representation in advisory committee
General Public	Not utilized	--

2-3 RESULTS

Specific Numerical Results: The needs identified were subsumed under 18 different service types fundable under Title XX.

Degree of Integration Into the Planning Process: It was reported that the needs assessment and the Title XX planning effort were closely associated.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: The Department of Planning and Policy Formulation within the Division of Family Services is responsible for ongoing planning.

Title XX Planning: The Department of Planning and Policy Formulation was responsible for coordinating the development of the Title XX plan with input provided by the Office of Social Services Policy (Division of Management) and by the Social Services Advisory Committee.

Staffing: The needs assessment and planning effort were closely associated. Two staff members from the Department of Planning and Policy Formulation and four staff members from Social Services devoted a full time effort to the needs assessment and Title XX plan for 5 months. In addition, a considerable part-time effort was provided by numerous other staff.

3-2 PLANNING PROCESS

It was reported that more time, more staff, and greater effort was devoted to the Title XX plan than to previous planning.

The planning process involved input from all Divisions within the Health and Human Resources Administration as well as input from community agencies, service providers, and consumers. This included proposals for services fundable under Title XX based on identified gaps in service. These service proposals were then sorted, organized, and incorporated into the Title XX plan.

It was reported that there was interface with WIN, and Title IV-B.

The Title XX planning process included planning for all social services. No special child day care planning was undertaken. Currently, however, a needs assessment is being conducted by the Bureau of Early Childhood Development within the State Department of Education.

The major remaining unmet needs are in rural areas due to transportation problems. In addition, there is a growing need for night care.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types & Numbers	Comparison
Total # to be served	yes	yes	22,311 children	more
Population categories to be served	yes	yes	AFDC (including WIN, nonWIN)-16318 SSI - 1198 Income eligibles (47.5% SMI)-4795	same
Priority Population Categories	no	no	--	--
Service Provider Types	yes	no	Day care centers Family Day Care Homes Group Day Care Homes	UNK
Special Provider Attributes (e.g., hours of service)	no	no	--	--
Geographic Areas	yes	yes	Dollars and children to be served allocated across 64 Parishes	UNK
Dollars Allocated for Child Care Service	yes	yes	$12,694,873	UNK

Planned Organizational Changes: The organizational structure was described as "fluid" having undergone numerous changes; it was in the process of revision at the time of the site visit.

3-4 UTILIZATION/IMPLEMENTATION

Responsibility for implementation was the joint responsibility of planning and program personnel, although no specific implementation in activities (other then organizational changes) in progress were reported.

4. EVALUATION

No systematic or formal statewide evaluations of child day care have been conducted.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R

Information and Referral services are provided primarily by Parish offices. The state, however, is developing a computerized resource bank which will include every service agency in each Parish statewide. The resource bank will contain information for all social services including child care. It was anticipated that the system will be in place by April, 1976.

At the Parish level, it was reported that all staff (as well as providers) can be involved in Information and Referral although requests for day care are routed to day care workers.

5-2 PROCESS

Assembling Information

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rates	Avail.
Centers	yes	as needed	yes	yes	yes	yes
Homes	yes	as needed	yes	yes	yes	yes
In-Home	Not utilized to serve FFP eligibles.					

Disseminating Information: Information is disseminated primarily through word of mouth. It was reported that the 4-C's has also undertaken limited advertising.

Assessing Client Need/Referral and Follow-up: The Parish level social service workers have primary responsibility for assessing client childcare needs based upon client eligibility for service, benefits to family and availability of providers.

Each worker maintains a list of providers which is reviewed with the client for appropriateness. The final decision is left up to the client.

The worker asks the client to contact the provider directly. The worker then contacts the provider after an agreement between the provider and client has been reached in order to complete agreement forms. Follow up visits are made to providers every three months.

5-3 RESULTS

No results were available statewide or at the Parish level.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies were established at the state level utilizing federal guidelines. Direct implementation, from the securing of applications through the determination of eligibility, is the primary responsibility of the Parish level social service workers.

6-2 POLICY PROVISIONS

Eligible Population Categories

- AFDC-WIN
- AFDC-nonWIN
- SSI
- Income Eligibles defined as:
  - Free care for families earning up to 47.5% ($453/mo.) of the state median income;
  - Full cost to families earning over 47.5% of the state median income.
- Protective Services.

Revisions Since the Passage of Title XX: None, since March 1975.

Materials to Ensure Uniform Interpretations: A manual has been developed and distributed. Updates are communicated through memorandums and executive bulletins.

6-3 PROCESS AND VOLUME

Applications: Standardized forms are used throughout the state.

Applications are generally secured by Parish level service workers, although any public or private provider may initiate an application. If a provider initiates the application, the provider has the responsibility of forwarding the form to the service worker. The service worker determines eligibility.

The total number of applications received is unknown, since there is no statewide compilation of this information.

Eligibility Determination and Verification: The Parish level service worker is responsible for making the determination. If the client is an AFDC recipient this is verified against existing records. If the client is employed there must be a verification of income by either a review of check stubs, a telephone call to employer, a signed statement from employer, or last years income tax statement.

The eligibility determination may take a maximum of thirty days although it usually takes about 2 1/2 weeks. Applicants cannot receive a service until they have been determined eligible.

Quality Control: All clients are urged to report any changes in status or earnings, and income eligibles are required to submit check stubs every six months to verify income. There are no other quality control mechanisms established.

Redetermination of Eligibility: Eligibility is redetermined every six months. Generally, it is at this time that clients who have become ineligible are identified. Should a client be found ineligible, payment for child care service is discontinued. If a child is in a contracted center the child must be relocated. If the child is in a non-contracted center, the parent assumes the cost for the child to remain in the center.

Appeals: Whenever clients are found ineligible, they are informed of the right to appeal. There were, however, only three appeals filed, state-wide, in the past year.

6-4 PARENT FEES

There are no parent fees. Persons earning more than 47.5% of the median income must bear the entire cost of service.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state level is responsible for the development of licensing and approval standards, while the Area Offices and Parish Offices implement licensing procedures, including both investigation and enforcement.

A license is required for centers but not for homes. The licenses are issued by Area Office personnel. An approval is required for Family Day Care Homes. The approvals are issued by Parish service workers.

All licenses and approvals are based on direct observation and reports received from the Health and Fire Departments.

Staffing: There are fifteen full-time licensing workers and another 4 full-time equivalents which are assigned to the 10 Area Offices. Information on the number of staff workers allocated to licensing at the Parish level was not available.

An undergraduate degree and one year of experience is required for employment. There is no formal on-the-job training although workers are encouraged to take courses and attend seminars.

7-2 STANDARDS

Standards Development Process: The standards for centers were updated in 1974. The Commissioner's Office of the Health and Human Resources Administration was responsible for the updating utilizing a Community Coordinated Child Care Group. The group consisted of providers, consumers, and interested citizens designated by the Governor.

The approval standards for Family Day Care Homes were updated in 1975. The standards development process was not specified.

Currently, the state's licensing standards are in the process of revision. Recommendations will be made in May, 1976 for approval by the 4-C's and by the Commissioner of the Health and Human Resources agency.

Contents of Standards

Staff:Child Ratios

Ages	Ratios
non-walkers	1:6
toddlers	1:8
2 yrs.	1:12
3 yrs.	1:14
4 yrs.	1:16
5 yrs.	1:20
school age	1:25

Group Day Care Homes: This category not utilized.

Family Day Care Homes: The total number of children up to age 14 cannot exceed six, including the provider's own children.

Additional Components of Standards: The standards for centers regulate organization and administration, ethical practicies, personnel, the plant and equipment, the admission of children, required records, the care of children, and transportation.

For homes, the standards include regulations for age, health, housekeeping, the facility and grounds, and the daily program.

Comparison of Standards with FIDCR: The staff:child ratios for centers are much less stringent than FIDCR.

It was reported that providers have reacted strongly against FIDCR standards. It is felt that it is impossible to meet the standards given the present rates paid.

The validity of the staff:child ratios are also questioned in that they are not based on systematic study of "what is best for the child".

It is felt that it is impossible to establish national standards in that different staffing ratios are necessary for a warm rural area where children can play outside as opposed to a large urban area with not much space.

It was stated that the imposition of federal standards would require a substantial increase in the staff needed in centers. "Many small proprietary centers would be forced out of business, and large centers would have to greatly increase fees. If the proposed Title XX rules are enacted, there would be a two to three fold increase in the staff requirements with the concurrent salary costs."

It is felt that the implementation of FIDCR staff:child ratios would have the effect of "destroying the day care program as it is currently operating in Louisiana. The Health and Human Resources Administration has received comments from day care providers that the ratios would be disastrous if they are finalized. Furthermore, if the day care standards are imposed, the WIN Day Care Program would be crippled financially, thereby defeating the program objectives."

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required	Providers			Renewal Freq.	
		Tot.N	# Licensed	% Disq.	Planned	Actual
Public Centers	License	UNK	22	UNK	annual	annual
Private Centers	License	UNK	832	UNK	annual	annual
Group Day Care Homes	This category not utilized.					
Family Day Care Homes	Approval	UNK	437	UNK	annual	annual
Relative DCH's	Relative DCH's not utilized to serve FFP eligibles.					
In-Home	In-Home care not utilized to serve FFP eligibles.					

All facilities which serve FFP children are licensed or approved. Information on the total number of facilities, by provider type, was not available.

Fees for License: No fees are charged.

Content of License: The license includes:

- date of issue
- signature of Director of Family Service
- expiration date
- name of facility
- description of requirements met

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study for centers generally covers the facility's physical characteristics, staffing and qualifications, the Health component, necessary records on consumers, transportation, and the Nutrition and education components.

An approval for homes consists of review of the physical characteristics of the facility, physical and mental health records of the provider, nutrition, curriculum, and references.

Extent and Nature of Process: A structured format is utilized in all investigations of homes and centers.

Initially, the provider comes to the office to review requirements. This is followed by visits to the facility.

Visits to facilities are utilized as well as telephone calls and letters. For homes, generally one visit is made. For centers, usually three visits are made to complete the study.

The length of time to complete a study varies with specific problems encountered.

Conditional Licenses: No conditional licenses are issued.

Revocations: The District Attorney is the only person with authority to revoke a license. This fact was cited as a problem.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

There is no monitoring of non-contracted centers (832) which is separate from relicensing.

Contracted centers (22) are monitored by a Monitoring and Evaluation Unit and Contract Audit unit within the state Division of Family Service. This consists of monitoring for compliance with state standards only. There is no separate monitoring for compliance with FIDCR.

Family Day Care Homes are visited every three months to observe children and the facility. This is accomplished by the Parish level service workers. It was reported, however, that the monitoring of homes was "superficial" and utilized no specialized instruments.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers (Contracted)	Monitoring and Evaluation Unit and Contract Audit Unit (State Level)	100% (22)	100% (22)	100% (22)	Annual	8 days
Private Centers	Not Monitored other than Relicensing	-	=	-	-	-
Group Day Care Homes	This category not utilized.					
Family Day Care Homes	Parish level service workers	100%	100%	-	Quarterly	Unk
In-Home	In-Home care not utilized to serve FFP eligibles.					

500

8-3 PROCESS

No monitoring is conducted for non-contracted centers. This means that Louisiana monitors only about 3% of its licensed centers.

The monitoring of contracted centers is regularly scheduled on a yearly basis. The monitoring visit requires approximately 8 days. It was reported that "indicator monitoring" is also conducted if data in the state Social Services Management system indicates that a problem may exist. It was unspecified whether this covers fiscal monitoring and/or program monitoring and compliance with standards.

Standardized forms are utilized in the monitoring of contracted centers. Methods utilized include site visits, telephone calls, and in-person interviews.

No information was specified on the monitoring process for homes.

8-4 RESULTS

All contract providers are presently in compliance with state day care standards. Compliance with FIDCR standards is not monitored. Follow up for a center our of compliance consists of advice and the specification of a plan for reaching compliance.

No results were specified for homes.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: There is no training or technical assistance provided at the state level.

Local: Training and technical assistance is generally left up to area offices and Parish offices. It appears however, that training and technical assistance is not provided on a systematic basis at either the area or Parish level statewide.

Staff Background: The only staff involved in training and technical assistance are licensing workers at both the area and Parish level. An undergraduate degree and 1 year experience is required for employment.

9-2 ACTIVITIES

No information was available on T & TA activities across the state. In Lafayette, training is available for providers through the personal efforts of licensing workers. They sponsor informal workshops in all areas of child development and requirements for licensing. The workshops are open to all providers.

In addition, Lafayette personnel reported that training assistance is given to providers to meet licensing standards.

9-3 PROCESS

No process for providing training and technical assistance was specified.

9-4 RESULTS

No results were specified.

9-5 MATERIALS

No Materials Specified

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by the state Management Finance Division which handles all disbursements for family services. There are seventy employees in the Division of which five full time employees in the unit are directly responsible for day care payments.

Local - In effect, there is no local fiscal unit. All fiscal decisions are made at the state level. The local social service worker forwards contract payment information to the state fiscal office which contacts the local office if corrections are necessary.

Function: Fiscal and program personnel are separate. Program staff determine all programmatic policies. The role of the fiscal staff is to audit documents for completion, to make disbursements, and to record the disbursements.

10-2 FISCAL MATERIALS

Fiscal policies have been developed as well as fee schedules and rate schedules. Forms have also been developed for managing financial and statistical information. All were rated as good.

10-3 INCOME SOURCES

Figures not available at this time.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Anticipated Expenditures FY 75-76
PURCHASE OF SERVICE	
Contracted Facilities	$3,747,562
Vendor-Paid Facilities	3,229,410
Direct Provision/Operation	None
Client Purchase with Social Service Reimbursement	None
TOTAL	$6,976,972

Description of Funding Methods/Processes

Purchase of Service: All services are purchased from Centers and Family Day Care Homes. Written contracts containing all required components have been developed.

No large scale sub-contracting is undertaken. Quality control procedures include yearly audits of providers. Overpayments are adjusted by a request for return or equivalent reduction of subsequent payments to providers.

Direct Provision: None

Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of measurement: Per child full time (i.e., more than 6 hrs./day)

Provider Type	Rates		
	Basis	Average	Range
Public Centers	Legislatively established	Actual Cost $6.25-$6.50/day	-
Private Centers	Legislatively established	$65/month	flat fee
Family Day Care Homes	Legislatively established	$45/month	flat fee
Group Day Care Homes	This category not utilized.		
In-Home	In-Home providers not utilized to serve FFP eligibles.		

10-6 IN-HOME CARE

No state or federal support for in-home care exists.

10-7 INCOME ELIGIBLES AND PARENT FEES

Persons with incomes up to 47.5% of the state median income are eligible for free child day care. Ineligible persons must pay entire cost of service.

10-8 DONATIONS

Donations have been received from sources such as churches and community organizations. Information on the total amount received was unavailable.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered.

Description of Administrative Structure: The Department of Human Services (DHS) is the single state agency for Title XX social services. There are three bureaus of the Department of Human Services which provide the administrative support services for child day care in the state: Bureau of Resource Development, Bureau of Administration, and Bureau of Social Welfare.

The Bureau of Resource Development is comprised of five units: the Research, Evaluation, and Planning Unit, the Volunteer Services Unit, the Social Services Unit, the Contractual Services Unit, and the Information and Referral Unit. Four of the five units are involved in child day care management.

The Research, Evaluation, and Planning Unit (REP) collects and interprets data from the Dept. of Human Services direct services staff and provider agencies, evaluates service effectiveness for clients served by the Bureau of Resource Development (BRD) and the Bureau of Social Welfare, and monitors contracts administered by the BRD.

The Social Services Unit is a policy development and interpretation unit. Day care policy monitoring (FIDCR) comes from here, as does the licensing of all children's facilities. (There is a formal Licensing Sub-Unit that is responsible for developing and revising all state standards and regulations for child care facilities. They also supply technical assistance in areas of licensing and program development to all agencies, community groups and individuals; plus training and technical assistance to the Dept. of Human Services regional direct services staff (child welfare, adult protection and care).

The Contractual Services Unit does all social services contracting. It helps providers (or potential providers) with interpretation of federal and state regulations, proposal writing, and program development, to enable them to meet federal requirements for federally funded day care.

The Information and Referral Unit is responsible for the development of a statewide I&R system for all social services.

The Bureau of Administration, through several of its Divisions (Accounting Services, Data Processing, Personnel, and Audit), is responsible for payments to day care providers. It is not involved in negotiating or any actual contracting.

Maine's site visit was conducted in February, 1976. Interviews were held with staff at the state office, and staff at the local office in Augusta.

The Bureau of Social Welfare has two units involved in day care: the WIN Program Unit administers the WIN program and in involved in WIN day care; the Income Maintenance Unit, though not involved in day care services delivery, considers day care as a work-related expense when calculating the monthly AFDC grant, and refers participants to the social services worker. In-home and relative home care is used exclusively by participants.

With respect to the interrelationship between fiscal and program people, the Bureau of Administration allocates funds to the Bureau of Resource Development, which sets allocations and reimbursement rates. The BRD approves bill payments to providers, in accordance with federal regulations, and forwards this approval to the Bureau of Administration - Accounting Services and Audits Units, which makes final approval before payment.

The Maine Human Services Council, an advisory group responsible to the governor, the Commissioner of the Department of Human Services, and the state legislature, has recently organized an _ad hoc_ Day Care Task Force to look into evaluation, needs assessment, and administrative issues in day care.

There are also three family day care systems (umbrella groups) in the state which are responsible for monitoring and reimbursing their member homes. One is a state-administered program, the Portland Family Day Care Program, run by the regional state staff of the Department of Human Services. The other two family day care systems are run by two private non-profit agencies (the Diocesan Bureau of Human Relations (Catholic Charities organization) and the Androscoggin County Task Force on Human Needs). They are responsible for the training and technical assistance to their providers, receiving help from the Social Services Unit of the BRD when requested.

There are five Regional Offices of the Department of Human Services in Maine, covering several counties each. However, the management of child day care is very centralized in Maine with all contracts and licensing coming from the state Central Office. Providers do the initial eligibility determination but the final approval comes from the state staff.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	*Allocation of Funds	
	FY 74-75	FY 75-76
Total Social Services Allocation	$16,367,964	$16,333,000
Total Child Care Allocation	2,456,000	2,456,000
Percentage of Total Social Services Funds Allocated to Child Care	15%	15%

*State Title XX plan

75-76 child care allocation is inclusive of normal day care only.

The total Department of Human Services social services allocation, supplied by state fiscal staff, is as follows:

	FY 74-75	FY 75-76
Title XX:	$16,367,964	$16,333,000
Title IV-B:	335,863	400,000
State-funded Priority Social Services Program (PSSP):	800,000	800,000
TOTAL	17,503,827	17,533,000

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Providers	Number FFP children	Expenditures	
			FY '74-75	FY '75-76
Public Centers				No Breakout Available
Private Centers	80	1,566*	1,578,428	
Group Day Care Homes	16	83	82,911	
Family Day Care Homes	204	172	38,898	
In-home & Relative Care	**	74	126,200	
PSSP, WIN; Title IV-B	unknown	unknown	866,921	
TOTAL	300	1,895	2,693,358	2,693,358

* There are an additional 288 children in special education area who are in private centers

** No way of knowing this statewide (only approved, not licensed, by WIN caseworkers in regional offices).

There are no public child day care centers. There is a public family day care program, operated by the Portland regional office of DHS.

1-4 RECORDS

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	Family and Individual	local
Standardized Social Service Forms	yes	Individual	state
Computerized Records	yes	Individual	state

Extent of Data: All information pertaining to client identifiers, providers, method, cost, hours and duration of services, demographic descriptors and eligibility are retrievable through the computer. Standardized social service forms contain goal data, service plan and goal achievement. Family size and educational level are contained in the income maintenance records.

Data Aggregation: Individual client data is collected initially at the regional level and fed into the computerized system and updated regularly. Fiscal and program reports are produced quarterly as well as a variety of special reports.

Some of the output reports are being updated for Title XX requirements, but basically they will remain the same. Maine does not expect any major problems in completing the social service requirement forms. However, they do feel that the eleven goal statuses (and number of recipients by goal status) will be difficult to accumulate. They would much prefer to deal with three to five goal statuses and feel the need for more time and money to build such a complicated individual client history file.

1-5 STATUTES

There are no statutes or ordinances (other than licensing statutes and administrative regulations) which govern the operation of child care in the state.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

One big problem identified by the state was that the federal requirements call for the use of a social security number for income maintenance records and not for social services. (If a child hasn't a social security number and then later on becomes a part of the income maintenance system there are two separate files with which to contend). The two number systems are very difficult to integrate.

One of the major strengths in developing and implementing a child day care services delivery system in Maine is the dialogue between the publicly funded day care community and the state agency. The day care community is fairly unified and vocal and this is seen as a positive feature in setting up a well-organized system throughout the state.

2. NEEDS ASSESSMENT

No comprehensive statewide needs assessment was undertaken for Title XX planning. There was a review of small regional needs assessments done over the last few years, inclusive of all social services, and a survey of existing services was done from in-house statistics, which were considered to be consistent. There was little change in programs for Title XX planning since no real rationale was found for making changes. The target population for day care was generated by the number of purchased slots X 1.8 (utilization of one slot).

It is hoped that the ad hoc Day Care Task Force of the Maine Human Services Council will collect more comprehensive data for use in planning in the future.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going and Title XX Planning: The Department of Human Services has a special planning unit, with two full-time equivalents devoted to all social services planning. This unit is part of the Bureau of Resource Development. This unit was also responsible for Title XX planning, with the two planners spending approximately six months in Title XX planning.

3-2 PLANNING PROCESS

This planning was inclusive of all social services with special attention given to child day care. All in-house reports were reviewed as was data from public hearings of the Maine Human Services Council in Fall, 1974. There was very little WIN interface, but there was an interface of Title IV-B and Title XX planning. Title IV-B money was used for funding areas not fundable under Title XX.

Input in the Day Care Services area of planning came from three main groups: Maine Human Services Council, Title XX Planning Task Force of the Bureau of Resource Development (which included consumers), and the Association of Day Care Directors (an informal organization of directors of publicly funded day care programs). Maine's Title XX Plan had two general goals: provision of services to the disadvantaged to improve quality of life, and to offer protective services and, if needed, to change the living arrangements for people unable to care for themselves. State personnel saw pre-Title XX planning as planning by crisis, whereas now Title XX will force a shift in priorities which will lead to a more rational base for planning.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be served	yes	yes	2,100 licensed slots	more
Population Categories to be served	yes	yes	AFDC - 2509 Income eligible - 1292	--
Priority Population Categories	no	no		--
Service Provider types	yes	no	Center, group day care, family dc	--
Special Provider attributes	no	no	---	--
Geographic Areas	yes	yes	5 regions	same
Dollars Allocated for Child Care Service	yes	yes	$2,456,000	same

Planned Organizational Changes: None.

3-4 UTILIZATION/IMPLEMENTATION

The only change is an increase in the population to be served. Since Maine has reached its federal funding ceiling, it is very difficult to get any new programs funded. All expansion that is possible comes through Maine's Priority Social Service Program funds (state and local funds).

4. EVALUATION

There has been no comprehensive, in-depth evaluation of the social services delivery system in Maine. There was a study done in 1974 to evaluate client satisfaction with all contracted services. This Service Impact Analysis (1974) was conducted by a private firm under contract to the Department of Human Services. A random sample of clients were interviewed (1,282 clients) and asked to rate the effectiveness, quantity, quality, and importance of those services they were currently receiving. At the same time a survey of those agencies providing the services was also conducted. It was found that service quality and effectiveness were rated as high (89% and 82%) and important (80%) but that there was insufficient quantity (37%). This evaluation took nine months. It had very little impact on the day care system.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

Maine has a statewide Information and Referral system which has just started operating as of January 1, 1976. It is modeled after the I & R system of the Human Services Coordination Alliance (HSCA) of Lousiville, Kentucky, although modified somewhat to meet state needs. It covers all human services available in the state (e.g., health services, family planning, Headstart programs, special education programs, food stamps, housing, day care, etc.).

It is disseminated regionally by a staff of 13-18 I & R workers trained by the state Department of Human Services.

There are workshops planned in the area of interview technique so as to enable the workers to proceed uniformly in the assessment of client needs as much as possible.

5-2 PROCESS

Assembling Information: This I & R system is composed of a Services Selection component which helps the client and worker in finding the services needed, and a Feedback component to enable the worker to collect data and follow up on referrals.

The Services Selection System is composed of a Problem Area List (which breaks down 19 areas of need and is further divided into client goals and barriers); a tree diagram which spotlights the problem areas, client goals, barriers, relevant services, and the specific programs which provide these services; a Service Identification System which defines specific services; and a Resource File which has detailed program information for services by area.

The Feedback System is composed of an I & R Activity Log to record all requests for information, the referral information if one was made, and the goal, barrier, service, program data appropriate. There is also a Client Referral Information Form used to make the referral and an Agency Feedback Form which is a postcard sent along with the referral to be returned by the agency to which the client was referred. Thus, they become informed of the results of the referral.

This is a very systematized schema and there are plans to update all files twice each year. All areas of information except availability are compiled on the centers and family day care homes in operation in the state. There is no information on in-home care, however.

Disseminating Information: The Department of Human Services has purchased television spots, radio spots, and notices in newspapers in an outreach attempt to inform potential clients.

Assessing Client Need/Referral and Follow-Up: The regional I & R worker has the responsibility of providing information as contained in the Services Selection index. The emphasis in the system is on the dissemination of information rather than the assessment of need. The client has the right to state the problem, hear about all resources, and decide which one is acceptable. The worker contacts the provider, arranges an appointment mutually convenient for client and provider, and follows up by contacting the provider (and perhaps also the client) about two weeks later to ascertain what was decided. In the case of a simple information request, no follow-up would be conducted. If the client had problems with the service after it were secured, a Citizens Assistance Line is available to specifically deal with citizens' complaints about state services.

5-3 RESULTS

This I & R system is still too new to have accumulated any data as yet.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION AND LEVEL OF EFFORT

Child day care eligibility is initially determined at the provider level. The Research, Evaluation, and Planning (REP) Unit of the Bureau of Resource Development trains providers in the eligibility determination process.

The REP Unit is responsible for final authorization of client eligibility. It conducts a computerized check, through access into Income Maintenance files, for AFDC/WIN eligibles, and a manual check on applications completed by income eligibles.

There is no sliding fee scale used.

All policies and regulations that govern the definition of client eligibility for child day care services come from the federal government, except for PSSP funded day care.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- SSI
- Children eligible under Title IV-B
- Income eligibles, defined as families whose gross monthly income does not exceed 80% of the state median income adjusted for family size ($755/monthly for a family of four)

There are no rigid priorities for service, but a preference does exist toward protective cases (not purchased by protective service but by day care). In addition to membership in an eligible category, there must exist either employment-connected reasons for services or the person normally caring for the child must be absent for some reason.

Revisions Since the Passage of Title XX: There have been revised guidelines drawn up since the passage of Title XX to assist agency personnel and providers with interpretations. Most of this new information, however, has been disseminated through workshops, letters and telephone calls.

6-3 PROCESS AND VOLUME

Applications: An initial client application form (SWCS-012), developed by the Research, Evaluation, and Planning Unit (REP) is completed by the provider. The provider has been trained, through general and special instruction guides, workshops, meetings and telephone calls in the completing of this form. This multi-purpose form is used as a client application for service, recording eligibility determination information, and used to "open" a case when forwarded to the REP Unit. The data entry staff of the REP Unit manually checks this completed application for reasonableness of data, cross-referencing the client's ID number with Income Maintenance records when applicable. This form is completed for other contract services, aside from day care, and includes the following information:

- Client identifying information
- Program objective
- Number of individuals benefiting from service
- Basis for eligibility (AFDC, SSI, WIN, CWS)

This information is transferred to state computer records and added, in part, to a Turnaround Reporting Schedule (TRS form) that is sent to the provider each month and incorporates all the clients the agency is currently serving.

The initial application is returned to the provider agency only in cases where eligibility is in doubt. At this point provider may seek other funding sources to continue service to client.

In FY '75, about 35,000 applications were received for all social services. About 1300 (4%) of these were for child day care. At the state level, approximately 1 FTE is annually allocated to process child day care applications. State officials considered this to be ample time allocation.

Eligibility Determination: The securing of documentation, completion of client application, and certification is done on the provider level, but, as stated previously, the REP Unit makes the final judgment on eligibility. The client is legally required to report all changes of income and, in such cases, the provider has thirty days to do a redetermination of eligibility. If this is not completed after thirty days, the client's name is taken off the TRS. Since the REP Unit's computerized records only include eligible clients, there is no way of knowing the actual number of clients whose applications for service were refused on the basis of non-eligibility.

It usually takes about two weeks between the completion of the initial application form and the REP Unit's determination of eligibility or non-eligibility; however, thirty days are allotted for this. The client can receive service during this time but if eligibility is disallowed Title XX will not pay.

Quality Control: Aside from the procedures used by the REP Unit's data entry staff, fiscal auditors do a random sample eligibility check. There is also an evaluation team which will do quality control checks as of July 1, 1976.

Redetermination of Eligibility: The REP Unit notifies the provider every six months to do a redetermination of eligibility in the case of income eligibles. If no change in income has occurred, a form is placed in the state's computerized records to this effect. If there has been a change in situation, new documentation is required and the form is signed by the client attesting to this and it is placed in the state's record of the client. No redetermination is necessary for AFDC, WIN clients (categorically eligible) since eligibility for service is based on income maintenance eligibility status. If income maintenance eligibility status is lost, the following monthly computer output reports would so indicate.

Appeals: It is known that only a few persons have filed an appeal so far this fiscal year.

6-4 PARENT FEES

No sliding fee scale exists.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state Department of Human Services, Bureau of Resource Development, Social Services Unit, Licensing Sub-Unit has responsibility for all state licensing standards and the issuance of licenses to all centers and family day care homes. They are also responsible for the approval of all in-home care facilities, and for the state standards that pertain to these homes. In the case of WIN clients, the WIN social worker does the approval for in-home facilities on the basis of compliance with state standards; this is conducted through regional offices. All non-WIN clients, on a regional level, get I&R to licensed centers or family day care homes and there is little in-home care provided to these clients.

Staffing: There are five full-time licensing workers in the Licensing Sub-Unit who spend 100% of their time in day care. There are two supervisors in this unit, who spend 20% and 75% of their time respectively in the area of day care. They also are concerned with other than day care licensing (e.g., foster homes) and in administration. There is one early childhood development specialist who spends 95% of her time doing pre-licensing studies for day care. There are also three workers who spend 100% of their time doing approvals and monitoring of in-home care regionally.

A licensing worker must have a B.A. degree and two years experience as a social worker. These workers make recommendations to the licensing supervisor who has the authority to deny a license or close down a program.

7-2 STANDARDS

Standards Development Process: The Maine Day Care Advisory Committee, composed of community people, providers, consumers, staff from the Department of Human Services and staff from the Department of Education, formulated the state standards in 1966 and did revisions in 1969 and 1974. This was accomplished through public hearings and committee meetings.

Content of Standards:

Staff:Child Ratios (State Standards)

Centers:

Ages	Ratios
2-1/2 to 3 yrs.	8:1
3 to 4	10:1
4 to 5	15:1

Group Day Care Homes: Facilities in which 7-12 children may be cared for. At least two staff members must be present in the group day care home at all times so that the child-staff ratio will never exceed six children to one adult.

Family Day Care Homes: Facilities in which 3-6 children may be cared for. Staff:child ratio is 1:6

Additional Components of Standards: Center standards include the following components: administration, staff qualifications, parent involvement, educational services, facilities, health, safety, nutrition, transportation, discipline, and evaluation/monitoring.

Family day care home standards include: administration, staff (caretaker) qualifications, parent involvement, program facilities, health, safety, nutrition, and evaluation/monitoring.

Group day care home standards, more explicitly written than family day care standards, include: administration, staff (caretaker) qualifications, staff training, parent involvement, program, health, safety, nutrition, transportation, and evaluation/monitoring.

In-home and relative home care is used exclusively by WIN participants. There are written standards (1974) that include: facilities, staff (caretaker) qualifications, nutrition, health, program, records, and staff training.

Comparison of Licensing Standards with FIDCR: All facilities serving FFP children must meet FIDCR standards.

Since FIDCR is often very general, Maine's standards are usually higher. Maine does not allow infants (e.g., under 2-1/2 years) to receive center care. FIDCR compliance hasn't created any problems for Maine. The state, in fact, is angry at the federal government for proposing to give additional money to states not in FIDCR compliance (e.g., staff-child ratios) because it is seen as a reward for non-compliance. The state has had no problems with FIDCR compliance by providers. As long as clients receive social services, through an overseeing agency or system (e.g., family day care umbrella system), the state does not require individual providers to supply it. In some cases the provider has the ability to provide such components as health care and social services, and the state therefore purchases such services from them. The state does provide health and sanitation inspections to providers through its Division of Health Engineering and also coordinates the state fire inspections through the State Fire Marshal's Office.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	Sanction Required	Providers		%Disq.	Renewal Planned	Freq. Actual
		Total#	%Sanctioned			
Public Centers	none					
Private Centers	License	80	100%		annual	annual
Group Day Care Homes	License	14	100%		annual	annual
Family Day Care Homes	License	232	100%		annual	annual
In-home	Approval	unk	UNK		annual	annual

Fees for Licenses: None.

Content of Licenses: The license for both family day care homes and day care centers include:

- Date of issue
- Period for which valid (and/or expiration date)
- Maximum number of children to be served
- Category of license and limitations

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study for both family day care homes (which includes group day care homes) and day care centers covers:

- Physical characteristics of the home or facility
- Provider characteristics and staff
- Provisions for educational program
- Provisions for nutritional component
- Verification that children have had medical clearances
- Provisions for handling sick children, accidents, etc.,
- The extent of parent involvement (centers only)

Extent and Nature of Process: For both family day care homes and day care centers a structured format is used. Homes are made aware that a license is required through press releases and word of mouth. It usually takes one visit (by licensing worker and fire department, respectively) to complete a family day care home study. Group facilities (centers) must have an inspection by the Division of Health Engineering and, if they are not using municipal water, they must have their water inspected. They also must have a fire inspection and two visits from the licensing worker. Thus, the family day care home study usually takes from 30-90 days, whereas the center study almost always takes the full 90 days. Fire inspection often causes the longest delay in the issuance of a license since it sometimes takes a very long time to get an appointment to be inspected. Non-compliance with fire regulations is often the biggest problem in the issuance of licenses to both provider types.

Conditional Licenses: As of October 1, 1975, conditional or provisional licenses have been issued in Maine. They are usually issued for 90 days but could extend up to one year, depending on what measures must be taken for problem resolution. Since October 1, 1975, there were 6 conditional licenses issued. A follow-up is made by the licensing worker after 90 days and at this time a decision is made as to whether to issue a permanent license or suspend the conditional one.

Revocations: There have been no revocations of licenses in the past year, although there have been denials of renewal for inability to maintain standards. There is an administrative hearing as an appeal procedure for providers who have been denied a license or have been closed down. One provider made an appeal last year. The license remained suspended, however.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Organization and Level of Effort: The Department of Human Services, Bureau of Resource Development, Licensing Sub-Unit has responsibility for monitoring child care, with the exception of WIN in-home care which is monitored when necessary from the WIN regional office. All monitoring of licensed facilities comes from the state level.

There are 8 persons, within the Licensing Sub-Unit, who are engaged in monitoring efforts. They are the Licensing Unit Consultant, the Licensing Supervisor, the Early Childhood Program Consultant, and 5 licensing workers. Their primary responsibilities are licensing or the administration of the Licensing Unit; however, they do also directly monitor child care providers in centers and homes and monitor local management activities in the 3 family day care systems. The Research, Evaluation, and Planning Unit has the responsibility for fiscal monitoring of contracted facilities.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By whom monitored	Percent Monitored	Frequency	Av. Time per unit
Child Care Centers	BRD Licensing Unit	100%	quarterly	2 hrs.
Family Day Care Homes	BRD Licensing Unit	100%	twice a year	1 hr.
In-home	WIN Caseworkers	unk.	unk.	unk.

8-3 PROCESS

The Licensing Unit is concerned with both structural and programmatic requirements. There is a check-list of areas of concern that is utilized by workers in their scheduled site visits. These workers are also knowledgeable about FIDCR and monitor for compliance. Reports are written on each site visit and the Licensing Unit Consultant receives a copy.

These monitoring visits are scheduled on a regular basis and also scheduled in response to problems which are brought to the agency's attention. Only in the situation where a second complaint has been voiced about the same provider would a surprise site visit be made. Otherwise all site visits are scheduled. This visit is the dominant strategy for monitoring child care although mailed forms and telephone calls are utilized occasionally.

8-4 RESULTS

State staff estimated 1% of centers were out of compliance, with the physical plant itself causing the most difficulty in achieving compliance and the lack of parent involvement being an additional area of concern. When providers are found to be out of compliance they are notified of this and a target date is set for achieving compliance. A follow-up visit is made and, although it has rarely happened, if there is still non-compliance, children would be withdrawn and funds withheld. Ultimately the license would be revoked.

Technical assistance is given to providers as a result of monitoring. This consists of a program consultation and, often, staff training by the Early Childhood Consultant.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Within the Department of Human Services is the Staff Education and Training Unit which reports directly to the Commissioner of the Department. This unit has a $56,000 appropriation from the state departmental budget and a staff of 3 persons whose primary responsibility is to meet the training needs that have been identified within the state. These persons organize meetings and workshops throughout the state, working with both providers and state staff.

The Research, Evaluation, and Planning Unit within the Bureau of Resource Development is responsible for training and technical assistance to providers with respect to billing procedures, eligibility guidelines, and contract and proposal writing.

Within the Licensing Sub-Unit of the Department there is a child Development Specialist whose function is to train providers on an individual basis, acting as a resource person for questions they may have about programs (e.g., nutrition). Before last year there was money designated for outside consultants built into provider contracts but this has been eliminated almost completely due to reaching the funding ceiling.

There is also a private contract in operation presently with the Human Services Development Institute, a research, training and advanced study organization affiliated with the University of Maine at Portland-Gorham. They have a $440,000 contract with the Department to provide 9 months training to staff engaged in service provision and administration, and also to assist in building a coordinated statewide training system. They are setting up special classes and also utilizing existing university classes (e.g., child development) to meet training needs. They are responsible for training day care staff in working with parents also.

There are 3 family day care systems in operation in the state and they provide training and technical assistance to their member homes through a social work aide that they hire for that purpose.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State DHS staff	Education and Training Unit	Meetings and workshops in all social services areas.	As needed
Social services staff, including day care staff	Human Services Development Institute	Special classes and University (U. of Maine at Portland-Gorham) classes in child development, working with parents, administration and service provision.	9 month training course

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Providers (centers, FDCH, GDCH)	Education and Training Unit	Meetings and workshops in social services areas.	As needed
"	REP Unit	Workshops and individual consultations on billing procedures, eligibility guidelines, contract and proposal writing.	As needed
"	Licensing Unit child development specialist	Individual consultations to help with specific provider concerns (e.g., nutrition).	As requested
Member FDCH providers	Family Day Care Systems' social work aide.	Individual consultation in specific areas of provider concern.	As needed

9-3 PROCESS

Contract-writing, eligibility, and administration technical assistance is given to all providers. Program technical assistance is given on provider request, because of community complaint, or through contract identification. Workshops are held by the REP Unit throughout the state to provide assistance in administration and eligibility determinations.

9-4 RESULTS

The results of contract-writing, eligibility and administration technical assistance are easily seen on an on-going basis. There are recognized improvements. However, there has been no program evaluation effort thus far to highlight changes in this area.

9-5 PRINTED MATERIALS

The state Day Care Unit prepares or accumulates pamphlets in areas of day care concern (e.g., equipment, child development, nutrition and administration) and sends these to providers upon request or upon indication by the day care licensing staff (who visit providers quarterly or semi-annually) that the materials are needed.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure and Function:

State: The fiscal function is performed ultimately by the Bureau of Administration within the Department of Human Services. REP Unit of the Bureau of Resource Development (BRD) checks all claims for payment, then authorizes such payment and forwards this to the Bureau of Administration for final approval and processing for payment by the state Treasurer. The Bureau of Social Welfare forwards their regional bills from the regional Accounting Clerk for the WIN account to the Central Office Bureau of Administration Accounting Clerk who makes final authorization for payment and processing for payment by the state Treasurer.

Resources are allocated by the Comptroller and the Chief of Budget and Accounting Services. Policies are prepared by the BRD, through consultants in each area. Rates are set by the Service Area Manager, Contractual Services Unit. Determination of allowability of expenditures comes from the Bill Processing Unit of the Accounting Services Unit. The Research, Evaluation, and Planning Unit (REP) is responsible for authorizing claims in the Title XX area. All financial responsibilities except appropriation, account control, and check-writing are performed by this unit.

Region: On the regional level, the provider of in-home care sends a bill to the region. It is approved by the social worker (WIN account) and forwarded through the regional Budget Clerk to the Central Office of the Department of Human Services' Accounting Services Unit. The payment is then approved and the check is sent from the state level.

10-2 FISCAL MATERIALS

Policies, provider billing forms, and audit report forms are prepared by the Bureau of Administration. All other fiscal materials are prepared by the Bureau of Resource Development, with the exception of fee schedules which are not in use in Maine. They were all rated good.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	2,182,458	2,456,000
WIN	311,564	
CWS	335,863	400,000
(State-funded Priority Social Services Program) Unmatched State Funds	800,000	800,000
Other		
TOTAL	3,629,885	3,656,000

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service Contracted Facilities	$2,665,519
Vendor-Paid Facilities	- 0 -
Direct Provision/Operation	27,839
Client Purchase With Social Service Reimbursement	- 0 -
TOTAL	$2,693,358

Description of Funding Methods/Processes:

A. Purchase of Service

Provider Type	Contracts		Expenditures
	Written?	Comprehensiveness	FY 74-75
Centers	yes	Covers everything	1,578,428
Family Day Care	yes	Covers everything	38,898
Group Day Care	yes	Covers everything	82,911
In-home care	no	No contract	126,200

The financial status of each day care contract is monitored by the RFP Unit's computerized Purchase Contract System monthly. Thus the RFP Unit is always informed about the total contract budget and the amount spent to date. When provider sends in a monthly bill (through TRS) the RFP Unit verifies the number of units, etc. and, after approving the bill, it is sent to Accounting Services. Records are then adjusted on the amount of funds in that specific contract which are still available and the amount disbursed to date. The comptroller then pays the bill. All submitted invoices are manually edited. It takes an average of 10 days from the time the provider mails invoice till the time the check is written. All providers are audited after completion of a contract (post audit) to insure that services were rendered. There is no program audit however as yet, so it is not known whether the proper services were rendered. In the case of overpayment a letter is written with a request for the return of money and a break-out of return to federal funds and third party funds is made when applicable. It is not much of a problem for the state.

Contract management is the responsibility of the Contractual Services Unit.

There is no large-scale sub-contracting in state.

B. Direct Provision: The Portland Family Day Care Program, run by the Department of Human Services in Portland, is the only directly operated program (with the exception of some written agreements with summer camps to have certain slots filled by publicly funded children). Payment is reimbursed to the PFDCP on the basis of Fixed Price. There is a fixed rate established by the Family Day Care Manager in the regional office, based upon existing private rates ($29.50 a week per child attending full-time).

Net Cost to Program = state funds expended in line with Title XX regulations + amount of federal funds expended in matching those funds.

C. Client Purchase: None. There are no direct cash payments to clients to purchase their own child care services. In the AFDC program for child care services are treated as a work-related expense when calculating the monthly grant to recipients. It is the social worker's responsibility to make sure the client is actually receiving child care services. General AFDC policies govern the use of income maintenance funds for child care.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per Child/Week. There are no state statutes defining this unit but the licensing unit and day care service area manager consider 3 days each week to constitute full time care.

Provider Type	RATES		
	Basis	Average	Range
Centers	Actual Cost	$45	$35 - $52
Family Day Care Homes	Rates charged other homes in community	$43	$33 - $45

Maximum rate permitted in centers is $52/week.

10-6 IN-HOME CARE

The rate for in-home care is based on what is charged in community. An administrative decision was made not to have any in-home non-relative day care as a way of dealing with the minimum wage issue.

10-7 INCOME ELIGIBLES AND PARENT FEES

There is no provision in the Title XX Plan for serving families with gross monthly incomes in excess of 80% of the state's median. Thus, there are no parent fees.

10-8 DONATIONS

The amount of donations cannot be aggregated. There is seed money built into all contracts through a Donor Agreement to be matched by federal dollars. There once was some difficulty handling donations when there had to be a third party, but now the state has no problems in this area, due to change in federal regulations.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: Maryland is characterized as "State Supervised-County Administered", however, functionally and operationally, it is State Administered-County operated.

Description of Administration Structure:

State Level - The Department of Human Resources is the designated state service agency. The department consists of six bureaus (Administration, Economic Opportunity, Employment Security Administration, Social Services, Program Coordination and Program Planning), and a series of centralized services.

Primary management responsibilities for child day care services lies within the Bureau of Social Services/Division of Child Day Care. Those management responsibilities are: Needs Assessment, Planning Evaluation, Eligibility, Licensing of Family Day Care Homes, Monitoring, Training and Technical Assistance.

Fiscal Management is administered through the Office of Administration/Division of Budget and Finance. However, the local Social Services Agencies have primary responsibility for fiscal matters with the exception of payroll, which is handled at the state level. Therefore, its functions are non-programmatic and are limited to providing program people with financial statistics, reviewing proposed program expenditures, and developing cost estimates of new or revised services.

Determination of eligibility is the responsibility of the county offices in accordance with HRD guidelines.

The Department of Health and Mental Hygiene is the agency responsible for licensing, monitoring, and training and technical assistance for all centers both private and public.

Maryland's 4C's organization is involved in the state's child day care program.

The Maryland site visit was conducted in February, 1976. Interviews were held with state staff and local staff in both Anne Arundel and Montgomery counties.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	Allocation of Funds	
	FY 74-75	FY 75-76
Total Social Services Allocation	$35,553,124	$50,664,364
Total Child Care Allocation	8,805,593	12,360,131*
Percentage of Total Social Services Funds Allocated to Child Care	27.1%	24 %

The Comprehensive Annual Services Program plan (CASP) for Maryland is a 12-month plan. The dollar amounts shown above for FY 75-76 are those given in the CASP plan.

Maryland's Division of Day Care budget includes:

Department of Social Services-Operated Centers	$3,859,219
Purchase from Private Centers	3,165,505
Purchase from FDCH	2,673,000
TOTAL	$9,697,724
Family Day Care Home Licensing	694,092
Day Care Administration - State Level	93,798
Day Care Administration - Local Level	216,262
Day Care Education	5,000
TOTAL Division of Day Care Budget	$10,706,876

The Division of Day Care is also responsible for WIN In-Home Care.

Division of Day Care	$10,706,876
WIN In-Home	3,480,000
TOTAL	$14,186,876

Child Care provided by other agencies with Title XX funds, but without the involvement of the Division of Day Care or local departments of social services:

Montgomery County Housing Opportunities Commission	$228,481
Washington County Community Action Council	50,000
Anne Arundel County Housing Authority	13,500
Day Care for Children of Parolees	111,069
TOTAL	$353,050

1-2 RESOURCES ALLOCATED TO CHILD CARE

	Estimated Expenditures FY 75-76
Total Social Services Budget	$36,961,169
Total Child Care Budget	14,186,876*
Percentage of Total Social Services Funds Allocated to Child Care	38%

*Includes WIN and day care administration.
The figures above were provided by respondents as the budgeted amounts for social services and child care.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children (Per)	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	28	1468	$3,594,359	$3,859,219
Private Centers	115-120	1896	2,722,369	3,165,505
Group Day Care Homes	There are no Group Day Care Homes in Maryland.			
Family Day Care Homes	1200	2475	1,550,494	2,673,00
In-Home Care	Unk	Unk	937,371	3,480,000
TOTAL		5839	$8,804,593	$13,177,754

$1,009,152 for Licensing and Administration.

1-4 NATURE OF RECORDS

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	Individual & Family	Local
Standardized social service forms	yes	Family	State & Local
Computerized records	yes	Individual	State
Income maintenance records	yes	Family and Individual	Local

Extent of Data: All information pertaining to client identifiers, nature of services, cost of care, demographic descriptors, eligibility status, and income information are maintained on narrative social service care records, standardized social service forms and computerized records. All of the above data is retrievable through the computer.

Extent of Data: Narrative Social Service records are maintained on the family and the individual child on the local level. Income maintained records are kept on the family and individual child on the local level. Standardized social service forms and computerized records are kept on the individual and family on the state level.

Data Aggregation: Data is collected at the local level and transmitted to the state computerized information system. However, presently it is not operational and therefore, no reports are generated, reports are expected to be generated within the next three months.

1-5 STATUTES

There are no statutes (or ordinances) other than licensing regulations that govern the operation of child day care in the state.

1-6 IDENTITY PROBLEMS/STRENGTHS

One of the real strengths as seen by the state and county personnel was that computerized record keeping system. They felt that one of their major strengths was that they already had developed and were in the process of implementing Title XX goals.

State and local respondents both pointed out that the number of child care facilities was inadequate to serve population needs.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

There was no needs assessment done for child care in relation to Title XX. However, there was a needs assessment study done independent of Title XX. It was done by the Department of Social Services/ Division of Day Care in response to a request from the State Legislature. It was done specifically in relation to child day care. The Program Specialist from the Division of Day Care conducted the study. In addition the Needs Assessment was conducted at the same time that Title XX had mandated Needs Assessment studies.

Level of Effort: One full time person, using outside consultation for a period of three months, between July 1, to October 1, 1975.

2-2 PROCESS

Sources of Information	Extent Utilized	Strategy
Documentary Sources	Utilized to some extent	U.S. and Marylands State Health Department Census--Maryland State Census
In-house Agency Personnel	Utilized to some extent	Staff members of local sites (County Directors, center supervisors and staff Day Care Administrators
Community Agencies	Utilized to some extent	Maryland 4-C M.D. Committee on day care Montgomery County Committee on Day Care
Service Providers	not utilized	NA
Consumers	not utilized	NA
General Public	not utilized	NA

2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated in Relation to:

- Number of children needing day care.
- The cost factor
- What age groups were in need of child care services.

Degree of Integration into Planning Process: The results of the Needs Assessment study did not affect the development of the plan. What it did was to clearly develop unmet needs in child care.

Unmet Needs: The major unmet needs were identified as the absence of services to school age children before and after school and Family Day Care Homes for children under three.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: The Department of Human Resources/Office of Program Planning and Evaluation is responsible for all social service planning. They employ 12 full-time staff members who are responsible for the planning of all social services. The percentage of time allocated to child care is unknown.

There was no separate planning specific to Title XX. Maryland's OPPE functions a year or so in advance. They are currently doing Social Service Planning for 1978.

3-2 PLANNING PROCESS

The Planning was inclusive of all social services with special attention given to child care. The planning process was already well structured and coordinated before Title XX and encompassed Title XX mandates. They had already redefined and explained their planning process irrespective of Title XX. Hence, there was no significant impact.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types & Numbers	Comparison
Total # to be Served	yes	yes	5,875 Private, Public & Family Day Care	more
Population Categories to be Served	yes	no	SSI, AFDC, WIN	same
Priority Population Categories	yes	no	AFDC, WIN, Income eligibles	same
Service Provider Types	yes	no	Day, weekends, evenings	same
Special Provider Attributes (e.g., hours of service)	yes	no	Centers, Family Day Care, in-home	same
Geographic Areas	yes	no	by County	same
Dollars Allocated for Child Care Services	yes	yes	12,360,131*	more

*This figure was taken from the Title XX plan, however, the Division of Child Day Care and other agencies involved in day care were allocated $11,109,926 for FY 75-76. This figure does not include WIN funds.

Planned Organizational Changes: None

3-4 UTILIZATION/IMPLEMENTATION

An increase in the number of children to be served; a request was put in by the Division of Day Care for additional funds which was approved for the next fiscal year.

4. EVALUATION

There was an evaluation vehical in the state of Maryland to determine the effects of social services delivery as it relates to child care. The evaluation was conducted by a private firm under contract to the Department of Social Services, partially funded by DHR and the Office of Administration/Budget and Finance.

The evaluation encompassed:

- Providers of centers and Family Day Care Homes
- Effectiveness of child care in achieving client goals
- Cost of child care
- Child care management functions

The Components included were:

- A written evaluation questionnaire
- A statement of process from centers and family day care home providers (interviewed).

There are six full-time equivalent staff members involved in the evaluation, over a 6-month period.

Utilization of Fundings: The information received through the evaluation process was used in reducing cost per day in Centers that are publicly sponsored, focused on the need for Training and Technical Assistance; increased per diem rates for purchase, increased use of Purchase of Service in meeting day care needs--it did not increase the number of centers operated by the state. The evaluation provided more specific data to the state and local personnel.

It was felt by State and local personnel that the sampling was inadequate and that there were not enough resources tapped.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

The Department of Health and Mental Hygiene is the component responsible for information and referral services. The Department of Social Services/Division of Child Care is responsible for providing information and referral to Centers and Family Day Care Homes. Persons participating in providing information and referral about child care are: SAU-WIN staff, Social Service workers, local voluntary agencies and by a Special Services Information System. Social Service workers were identified as the most heavily utilized sources of information and referral. Five out of the twenty-four counties have I & R services.

5-2 PROCESS

Assembling Information

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	Bi-annually to Annually	yes	yes	yes	yes
Homes	yes	weekly	yes	yes	yes	yes
In-home	yes	--	yes	yes	yes	yes

While most service workers utilize state prepared facilities list, they also rely heavily on their own knowledge of local providers in delivering I & R services.

Disseminating Information: The State organizes outreach efforts to the five major counties in the form of pamphlets, newspapers, posters, telephone listing and by purchasing T.V. and radio spots.

Out of the five counties who provide I & R services Montgomery County was one of the two counties visited that provides I & R services. Their outreach efforts to provide information relies primarily on pamphleteering and word-of-mouth.

Assessing Client Need/Referral and Follow-up: The county social service worker assesses the need for child care on the basis of the child's age, family composition, child's personality and or developmental level, hours of care, location, cost of care and readiness of the child to be away from family (this is of primary importance). The parents make arrangement based on the list of appropriate providers, they are encouraged to visit the site before making final decision/selection. The normal assessment process takes approximately two to three hours. The same worker is involved throughout the process, she introduces the parent to the provider and makes a follow-up telephone call within a six-week period as necessary, personal visit within the first month and redetermination within six months. The follow-up procedures are conducted to insure that adequate child care is being provided.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Department of Social Services/Division of Child Day Care is the agency responsible for the establishment of eligibility regulations and the development of standardized application forms. The securing of the application and the determination of actual eligibility are carried out at the local level by the social service worker.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC,AFDC-WIN, CWS, SSI
- Income eligibles, defined as: Families whose annual gross income is below 105% of the state median income ($15,441 for a family of four).
  - Free care for families earning up to 40% of the state median income;
  - Sliding fees for families earning from 40% to 105% of the state median income;
  - Full cost to families earning over 105% of the state median income.

Additional qualifying conditions include parents who are: employed, incapacitated, in-training, or if a child is handicapped or in need of supervision as a protective service.

Revision Since Title XX: None

Material to Ensure Uniform Interpretation: Guides were developed and distributed throughout the state. Supervisors have manuals and front-line workers have a circular letter with interim procedures until they can be replaced with manual. Training has been conducted on the local level to ensure understanding.

6-3 PROCESS AND VOLUME

Application: Standardized application forms were developed by OPPE/Division of Child Care Services and are used throughout the state. Application forms are secured by the local social service worker upon meeting with the clients.

In FY 75, approximately 7,680 applications were received in the state for child care. The total number of social service applications received was unknown. The percentage of child care applications received in Montgomery and Ann Ardundel Counties was approximately 10% and 5% respectively. The total number of social services applications was unknown.

Eligibility Determination and Verification: The securing of documents, completion of client applications and verification of client status is done by the county social service worker. Once the social service worker has determined eligibility, the client is informed. If a client has documented evidence of eligibility status at the time his/her application is submitted, service may be immediate. All eligibility determination takes place within 30 days, or sooner, depending upon the type of verification required.

Of the total 7,680 applicants for child care services in FY '75, the total found eligible was approximately 95%.

Quality Control: At present, there are no standardized quality control procedures in effect. Clients are responsible for reporting any change that might affect their eligibility status. There are no formalized follow-up procedures, unless a client is completely dependent upon social services for their subsistence.

Redetermination of Eligibility: Eligibility is redetermined every six months, using the same format as the initial eligibility interview. Where a client is found ineligible, he/she is informed of a right to appeal within 15-30 days. At the end of that time period services are terminated, unless an appeal has been made. Services are continued in appeal cases until there is an official ruling. It was approximated that 6 appeals were filed in the past year. Exact results of those rulings were unavailable due to time. However, it is speculated that 80% of all appeals are upheld and approx. 20% reversed.

6-4 PARENT FEES

A sliding fee schedule has been developed by the Social Services Division of Day Care staff. The fee schedule is implemented and interpreted by the county social service workers, who assign the appropriate fee to the clients.

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The DHR/Social Service Division is responsible for the development and enforcement of licensing standards for Family Day Care Homes. The Department of Health and Mental Hygiene is responsible for licensing Public and Private Day Care Centers.

A license is not required for In-home Care which is subject to an approval process implemented by a local WIN worker.

Staffing: State-wide there are approximately 72 licensing workers out of the Department of Health and Mental Hygiene and 61(including 37 licensing workers and 24 supervisors) out of the Social Services/ Child Care Division; 80% of their time is spent licensing child care facilities. The remainder of the time is devoted to monitoring for license compliance, providing technical assistance to providers, recruiting new sites and dispensing information on licensing regulations and requirements to the community. All licensing workers are authorized to recommend license denials and revocations, with final authority vested in the state licensing unit.

7-2 STANDARDS

Standards Development Process: The standards for center were updated in 1974. A twenty-five member state Child Care Advisory Committee composed of consumers, parents, providers, licensing workers, child care staff, appointed by the Director of State Department of Social Services and responsible to the state legislature, develop the recommended standards.. These are submitted to the local Social Service unit for their comments and input, then all comments are considered by the standards committee. The committee then does the final revisions and submits it to the Director of State Department of Social Services for approval. A duplicate process is used for standards and regulations by the DHMH.

Content of Standards:

Staff-Child Ratios

	Ages	Ratios
Centers (Group Day Care Centers):		
	2-3 yr. olds	1:6
	3-4 yr. olds	1:10
	4-5 yr. olds	1:10
	5-6 yr. olds	1:13
Group Day Care Homes:	Not Used in Maryland	
Family Day Care Homes:	Ages	Ratios
	0-6 weeks	1:1
	6 wks.-18 mos.	1:3
	18 mos.-14 yrs.	1:4

Group Day Care Centers receiving FFP children must meet FIDCR standards.

Additional Components of Standards:

Family Day Care Homes:

- Financial status
- Facilities
- Records and reports
- Emergency plans
- Nutrition
- Health (staff and children)
- Program
- Penalty

Group Day Care Centers:

- Physical plant
- Safety and sanitation
- Nutrition and food services, equipment
- Health (staff and children)
- Staff qualifications and training
- Program
- Penalty
- Records
- Financial status
- Parent involvement

Comparison of Standards with FIDCR: In both the Department of Health and Mental Hygiene and the Department of Human Resources/ Child Care Division there are no major differences between FIDCR standards and theirs. However, the Department of Human Resources/ Child Care Division standards exceed FIDCR standards in regard to the child staff ratio in FDCH. With reference to center Maryland's standards are below FIDCR staff-child ratios.

There is no separate FIDCR certification process, approximately 1/2 of Maryland's providers are willing to comply with FIDCR standards. Because the state of Maryland was already providing high quality day care services they had little difficulty meeting most of FIDCR standards. The providers feel that FIDCR is necessary to ensure quality day care but fear that FIDCR will soon be nullified and that that will be a disservice to the children.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required*	Providers			Renewal Freq.	
		Tot.N	% Licensed*	% Disq.	Planned	Actual
Public Centers	license	28	100%	UNK	yearly	yearly
Private Centers	license	115-120	100%	UNK	yearly	yearly
Group Day Care Homes	None	None	None	None	None	None
Family Day Care Homes	license	3,000	100%	UNK	yearly	yearly
In-home	approval	UNK	UNK	UNK	UNK	UNK

The staff maintained no data on the percentage of unlicensed providers, since all known providers are required to meet licensing regulation and standards.

7-4 LICENSING PROCESS

Areas of investigation: For both family Day Care Homes and Centers, a licensing study covers:

- location of day care facility
- provisions for educational and nutritional components
- providers characteristics (age and health)
- medical clearance for children
- sanitation
- provisions for handling sick children

Extent and Nature of Process: All known providers are licensed. Most providers hear that licensing is required through posters, flyers, inserts in utility bills and by word of mouth, or by the licensing workers making community contacts. There is a structured format for conducting licensing studies. For homes, two visits are required to complete study. The major factors that delay the issuance for Family Day Care Homes are references, medical certifications, police clearance and clearance with the child abuse registry. For centers, two to three visits are required. The factors which generally delay license issuance are passing sanitation inspection, fire inspection and meeting zoning regulations.

There is approximately a one-month time lapse for Family Day Care Homes, and an average of 3 months for centers before the issuance of the license. However, provisional licenses are issued in areas of minimal non-compliance and where there is an urgent need for day care. Day Care Centers on the other hand are not issued provisional licenses.

All known providers have undergone a licensing study.

Conditional/Provisional Licenses: Conditional licenses are issued to Family Day Care Homes only. Last year (1975) 315 licenses were issued, seven were provisional, 90% of the seven fulfilled the conditions.

There is approximately a two-week time lapse between the issuance of a conditional license and initial follow-up visit. After this time period, the physical adequacy of the facility is re-evaluated and if the worker feels that the provider is sincere in fulfilling the necessary requirements a standard license is issued. The second follow-up usually occurs within 120 days after the issuance of a conditional license. If compliance is not achieved within the 120 day time period, the license is revoked.

Revocation: The following describes the standard procedure for revoking a license:

- Provider is notified by certified letter and is informed that within 20 days the home will be closed.
- Provider is notified of areas of non-compliance and informed of appeal procedure.

In FY 1975, less than 1% of conditional licenses issued were revoked.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Department of Health and Mental Hygiene and Social Services Department are responsible for the overall monitoring activities for child care centers (Department of Health and Mental Hygiene) and Family Day Care Homes (Social Services/Division of Day Care). The day to day monitoring activities are carried out at the local level by state employees, who are the social service licensing workers. In both agencies (Department of Health and Mental Hygiene and the Department of Social Services) the licensing workers are responsible for monitoring homes and day care centers, and are often responsible for more than one county. Of the twenty-four counties four are actively engaged in monitoring activities.

There are approximately 72 Day Care Center licensing workers and 61 Day Care Home licensing workers (37 + 24 supervisors and clerk typists) who monitor. The local monitoring staff spends 25% of their time monitoring, 50% licensing and 25% conducting outreach. The Social Service supervisor is responsible for supervising the monitor activities and visiting local centers and homes.

Both on the state and county levels, the staff felt that in order to do an adequate job of monitoring more staff needed to be added, guidelines needed clarification and monitors needed better understanding of what they were supposed to be monitoring.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	DHMH	100%			Annually	8 hrs.
	DSS		100%	100%	Annually	4 hrs.
Private Centers	DHMH	100%			Annually	8 hrs.
	DSS		100%	100%	Annually	4 hrs.
Group Day Care Homes	Not Used in Maryland.					
Family Day Care Homes	DSS	60%	100%	100%	Annually	4 hrs.

8-3 PROCESS

Formal instruments are used and were developed by the State Day Care Unit in cooperation with local licensing teams (DHMH) for day care centers and the DSS also uses a formal instrument for the monitoring of Day Care Homes. The forms were developed by the Division of Day Care, and the Family and Group Day Care Advisory Committee, which is made up of local workers.

The areas of greatest compliance difficulty cited at the state level were staff-child ratio and nutritional requirements. At the local level the Health requirement was the greatest compliance difficulty.

State and local agencies agree that the majority of providers are in compliance with state standards.

The basic process used in monitoring child care centers and homes consists of scheduled visits for both DH and MH and DSS.

8-4 RESULTS

Both the Department of Health and Mental Hygiene and the Department of Social Services/Division of Child Care are in agreement that the majority of providers are in compliance with both state and federal regulations. The areas that are hardest for providers to comply with were: nutrition, environmental health, child-staff ratios, parent involvement and staff training.

When a center or home is found out of compliance, the provider is notified of areas of non-compliance, a target date is set for achieving compliance; follow-up visit to validate compliance. Extensive technical assistance is given to providers to bring them into compliance. If compliance is not met, the license is revoked. The staff estimates that less than 1% of the licenses have been revoked within the past three years.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State Level: The Department of Health and Mental Hygiene/Preventive Medicine Administration/Division of Child Day Care Licensing and Consultation is the unit responsible for providing training and technical assistance to centers. The Department of Social Services/ Division of Day Care is responsible for providing training and technical assistance to Family Day Care Homes. It is estimated that 1/2 (DHMH) and 1 1/2 (DSS) equivalents of full time staff members is allocated toward training and 90% allocated toward technical assistance. There is no line item budget specifically for training.

Local: The Social Service Day Care Unit and Health Department are the agencies responsible for local training and technical assistance. The day care supervisor is the person in charge in the Social Services and the child development specialist in the Department of Health & Mental Hygiene. The time allocated for child care training approximates 10% and for technical assistance 1-2% of full time staff equivalents. In Montgomery county $220.00 is allocated for training and technical assistance.

9-2 ACTIVITIES

Staff development

To whom	By whom	Description	Amt.
Center directors and senior staff members	Community Colleges	lectures, seminars	UNK

Provider Training and Assistance

To whom	By whom	Description	Amt.
Centers 1) Aides 2) Center unit staff	Day Care Center Supervisors (DHMH)	Workshops	8-10 hrs. monthly
Family Day Homes	Child Development specialists (DSS)	Workshops	10 hrs. monthly

9-3 PROCESS

The methods used to identify training and technical assistance is determined by:

- Regulations based on needs assessment
- Individual request
- Observation made during monitoring

Licensing staff and providers were identified as the groups with the greatest need for training and technical assistance. The licensing staff has a continual need for training and technical assistance in order to keep abreast of licensing needs and procedures. The major needs among providers are basic child development and program planning skills.

Site visits, direct consultation, memos, and telephone calls are the chief means of providing training and technical assistance. Training is provided in the form of small group discussion, seminars and workshops.

9-4 RESULTS

Both the state and county personnel feel that much more should be done in the areas of training and technical assistance, however, since there is no official budget for training and technical assistance on either state or county levels it is difficult to fulfill the various training and technical assistance needs to staff members and providers.

The Department of Health and Mental Hygiene determines effectiveness of their training and technical assistance program through day care center licensing reports. The Department of Social Services determines the effectiveness of their training through written and formal assessment of implementation of activities in on-going periodic consultation by field supervisors (who are seen formally once a week).

10. FISCAL

10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by the Department of Human Resources/Office of Administration/Division of Budget and Fiscal Finance. It performs all fiscal support for all social services including child care. However, the local social service agencies have primary responsibility for fiscal matters with the exception of payroll, which is handled at the state level. Therefore, its functions are non-programmatic and are limited to providing program expenditures, and developing cost estimates of new or revised services.

Local - The fiscal function performed by the Department of Social Services/Division of Fiscal Management/Accounting Department has primary responsibility for fiscal management at the local level.

10-2 FISCAL MATERIALS

All materials other than audit forms were developed by the Department of Social Services or the Day Care Division within the Budget and Finance Unit. These forms are used regularly and the majority of them were rated "good" by state personnel and on the local level there was not much input in reference to usefulness. State personnel felt that the policy and regulations manuals need much improvement, rating them "poor". As stated previously, local personnel gave little input.

10-3 INCOME SOURCES

Source	$ FY 74-75	$ FY 75-76
Title XX/IV-A	7,867,222	11,109,926
WIN	937,371	3,480,000
CWS		
Other:		
TOTAL	8,805,593	14,589,926

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (contracted)	4 272,863
Vendor Payments	none
Direct Provision/Operation	3,594,359
Client Purchase, with WIN	937,371
Client Purchase, with Social Service Reimbursement	None
TOTAL	8,804,593

10-5 RATE ESTABLISHMENT

Unit of Measurement:

Provider Type	Rates			
	Basis	Average	Range	
			High	Low
Centers	Actual Cost	7.15/day	7.50	7.00
Family Day Care Homes	Actual Cost	4.50/day	--	--
In-home	Actual Cost	$70.00/ month	flat rate	

10-6 DESCRIPTION OF FUNDING METHODS/PROCESSES

A. Purchase of Services: Services are purchased from centers (private and public), Family Day Care Homes and In-home care.

Provider Type	Contracts		Expenditures
	Written?	Comprehensiveness	
Centers	yes	covers everything	6,316,728
Family Day Care	yes	covers everything	1,550,494
In-home care	no	no	937,371
Other	no	no	--

B. Direct operations: The State has direct operation of Public Centers. Line item budgets are developed and payment is reimbursed. Employees of the local programs are hired directly by the county and salaries are based on the state Merit system.

C. Client purchase: NONE

10-6 IN-HOME CARE

WIN funds are the only funds used for In-home care. Total expenditures for FY 74 were 937,371

10-7 INCOME ELIGIBLES AND PARENT FEES

Income eligibles are defined by respondents as anyone whose gross income does not exceed 40-105% of the state median income adjusted for family size. Child care is free for those whose income is below 40%. A sliding scale is used for those who earn between 40-105% of the state median. The total received from parents fees for FY 74-75 was 20,165.

10-8 DONATIONS

There were no monies received in the forms of donations.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State administered

Description of Administrative Structure: From the Executive Office of Human Services (EOHS), an umbrella agency and one of the ten Secretariats comprising the Governor's cabinet and responsible directly to the Governor, comes the Department of Public Welfare (DPW) and the Massachusetts Commission for the Blind (MCB). They share the responsibility of being the designated agencies sharing primary responsibility for the administration and provision of Title XX reimburseable services. Also stemming from the EOHS, in addition to other departments, is the office For Children (FC) which is responsible for all licensing of child care facilities, including the licensing of day care centers and systems of family day care homes. Only state approval is needed for in-home care (babysitting), and this is the responsibility of the Day Care Unit of the Department of Public Welfare.

The DPW is divided into several branches, the Office of Social Services (OSS) and Assistance Payments (AP) being of particular interest. The OSS houses the Purchase of Service Unit and the Day Care Unit which work together in providing day care through contracted and non-contracted arrangements.

The Purchase of Service Unit is responsible for the administration, monitoring, evaluation, and fiscal control of day care contracts; the Day Care Unit is responsible for program definition, policy, guidelines, and interpretation. There is no social service component in the Assistance Payments branch and AFDC recipients, among other clients receiving assistance, who require social services are directed to the OSS to have their needs met and services provided.

There are six Regional Offices of the DPW in Massachusetts and these are further divided into thirty-eight Community Service Area offices and sub-divided into one hundred fifty Welfare Service Offices. These regional and local offices have autonomy for the authorization and use of non-contracted expenditure. Currently, there is a shared responsibility for intake in the contracted system (i.e., the DPW line staff and contracted agency staff). Any final decision relative to the aggregate use of funds is made at the Central Office level based on input and discussion with regional and local offices.

The Purchase of Service Unit contracts with provider agencies for a specific number of slots within the agency and gives final authorization for services in the case of contracted day care. The Information-Referral-Follow-Up (IRF) worker or generalist

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The Massachusetts site visit was conducted in February, 1976. Interviews were held with ten state staff and with eight of the local and regional staff in Worcester.

worker at the local Community Service Area office gives authorization for services in the case of non-contracted arrangements. (This is most often authorization for a babysitter at the local level). All information on non-contracted services is fed into a central state computer operation and, through this computerized procedure, payment is made to non-contracted providers each month after a computer scan allows authorization.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	FY 74-75	FY 75-76
Total Social Services (Title XX) Estimated Expenditures	$76,000,000	$92,332,000
Total Child Care Allocation	$21,571,722	21,571,722
Percentage of Total Social Services Funds Allocated to Child Care	.28	.23

The above figures were taken from the Massachusetts Title XX Plan, pages II-31, II-32.

The number of staff, in terms of full-time equivalents, specifically involved in child care is as follows:

Day Care Unit - 4 FTE
Purchase of Services Unit - 10 FTE
Office For Children - 21 FTE

1-3 VOLUME OF CHILD CARE SERVICES

In Massachusetts all information on day care is broken out in terms of contracted and non-contracted services. Thus all figures are aggregated in these terms.

Provider Type	Number Providers	Number FFP Children	Expenditures	
			FY 74-75	FY 75-76
Non-Contracted Public Centers(1) Private Centers	700	5,285	$ 5,700,000	
Contracted Private Centers Family Day Care Systems	160	8,750	11,900,000*	
Group Day Care Homes	--	--	--	
Independent Family Day Care Homes (non-contracted)	25,000	11,850	5,300,000	
Other: Demonstration Day Care Project (all state funds)	30	0	241,000	
TOTAL	25,890	25,885	$23,141,000	

*Includes $1,900,000 in funds donated for private centers and family day care centers

1-4 RECORDS

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	Family	Local
Standardized Social Service Forms	yes	Family	State & Local
Computerized Records	yes	Family	State

Extent of Data: All information pertaining to client identifiers, demographic descriptions, goal data, eligibility service data, cost data are maintained in the three records indicated above.

The following is retrievable only through the computer: client identifiers, eligibility, service and cost data.

Handicapping conditions are retrievable only through local narrative social service records.

Data Aggregation: If there is a change in employment or family composition, the client is legally responsible for notifying the social worker at the Community Service Area office or the provider in the case of purchased or contracted services.

Data is compiled manually at the state level in the case of contracted services and compiled through a computerized system at the state level in the case of non-contracted services.

1-5 STATUTES

There is a state safety code which governs child care facilities as well as local safety ordinances which vary from locality to locality. There also exists departmental standards which govern in-home care and school age care programs. The DPW is currently writing standards for family day care systems.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

State personnel listed the following problems in the management and delivery of child care services:

1. General lack of (or insufficient) resources
2 Lack of care facilities for overnight and weekend care
3. Difficulties in selecting the best service for any given child
4. Availability of appropriate care in all geographic areas
5. Need for a management information system which will provide appropriate and timely empirical data.

6. Meeting FIDCR and pricing out people by trying to meet FIDCR
7. Not enough staff.

State Personnel considered their strengths to lie in the following areas:

1. There are some services everywhere in the state
2. There is good communication with providers
3. Many child care services, especially those contracted, have shown good qualitative growth
4. There is good support from some of the communities and legislators
5. The quality of the staff in facilities is very good.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

There was no comprehensive needs assessment undertaken for Title XX planning due to staff and time constraints. An Inter-Agency Day Care Task Force was formed, composed of staff from the Office For Children, Department of Public Welfare, Department of Public Health, and Department of Mental Health, with input from providers (Mass. Association of Day Care Administrators), and the local councils formed by the Office For Children. The DPW had primary responsibility for this task force. Approximately 20 full days with a core of six persons was allocated to this study of day care, through public meetings statewide and regional committee meetings open to the public. What was undertaken by the Task Force was an in-depth analysis of existing data, service configuration, programs and policy.

All census data, in-house statistics, and past reports were reviewed by the task force. This included some general surveys done by the Child Care Coordinating Committees (1968-1969) and a review of the child care needs established by the local OFC councils (1971).

The Issue Paper written by the Task Force was very general, concerned with training, special needs for children, client eligibility, the possibility of sliding-scale fees, and a review of data on in-home care. No specific numerical estimates of need were generated. The availability of services by geographic area was studied and the emphasis was on the continuation of services to those clients already receiving them.

The target number of children to be served was estimated to be 20,000 through both contracted and non-contracted arrangements and this represented no change from the previous year. The particular population groupings to be served were defined as AFDC recipients, income eligibles and SSI's and they were broken out regionally by goals and by facility types. The income eligible population was defined as those persons with an income of less than 80% of the state's median income for a family of four and pro-rated accordingly.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going and Title XX Planning: Prior to Title XX the Office of Social Services was responsible for all social services planning. As of October 1975, as a direct result of Title XX, a Planning Unit with 28 full-time staff was formed in the Office of Social Services. They are now responsible for Title XX social services planning and implementation.

3-2 PLANNING PROCESS

There was a special effort directed toward child care planning in the form of a Day Care Task Force, which was one of several service areas broken out in a task force. There was, however, only limited interface of WIN and Title IV-B child care planning with Title XX and Title IV-A planning.

Title XX planning was more structured than before but there was similar in-house input. The Issue Paper that was published by the Day Care Task Force represented the major difference in pre and post Title XX planning.

Following publication of the Title XX Plan there was some feedback on several areas of social services, including day care. There were approximately 200 responses to the plan statewide and client eligibility was the biggest area of concern.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be served	yes	yes	19,545 children	same
Population Categories to be served (Infant - 14 years Day Care)	yes	yes	AFDC-16,128 SSI-2,063 Medicaid-800 Income eligible-554	same
Priority Population Categories	no	no		
Service Provider Types	yes	no	Centers Family Day Care In-home care	same
Special Provider Attributes (eg, hours of service	no	no		
Geographic Area	yes	yes	# of person in each population category broken out by region in Title XX Plan	same
Dollars Allocated for Child Care Service	yes	yes	$21,571,722	same

Planned Organizational Changes: The entire Office of Social Services' organizational structure has undergone recent change. Title XX was considered to be a significant factor in this reorganization. Prior to Title XX there was child care planning based on a functional break-out, whether the service was contracted or not, and whether the care was protective or not. The OSS staff assisted the Title XX planners. There is now a specialized Title XX Planning Unit as well as a Program Development Unit which has responsibility for the development, focus and integration of new social service programs. The Day Care Unit also can develop new program and policies specific to day care, receiving authorization from the Program Development Unit.

3-4 UTILIZATION/IMPLEMENTATION

There have been no changes in the population to be served from last year, and the plans for child care services, with respect to numbers, types or geographic distribution, have remained the same accordingly.

4. EVALUATION

There have been no comprehensive child care evaluations conducted thus far in Massachusetts. A manual is currently being written to provide guidelines for a formal evaluation and the state hopes to implement this in the near future.

It should be noted that all contracts are evaluated by the state and line workers periodically review the appropriateness of service plans for non-contracted service (see Monitoring).

Also, a limited evaluation of individual contracted providers was undertaken by the Purchase of Service Unit staff, who utilized an observation guide and noted program elements. Their concern was in the area of contract compliance and they supplied technical assistance in this area when necessary. The data from these individual evaluations was not aggregated.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no centralized statewide I & R program. There are approximately 100 IRF (Information, Referral, Follow-Up) workers in the state and they work out of the 38 Community Service Area offices. Their responsibility covers multiple social services, including child care. However, IRF workers are responsible for 'single service cases.' In addition, generalists refer cases for service and are responsible for 'multiple service cases.' SAU-WIN staff provide counseling and refer cases directly for vice. OFC staff, Assistance Payments workers, and provider agencies under contract also contribute to this effort, primarily by referring persons needing I & R to their Community Service Area office where an IRF worker can assist them.

There are also approximately 25 Resource Mobilization Workers who work out of the Community Service Area offices. They maintain files on resource information and distribute this information to the local staff, including the IRF worker. In the area of day care, they assemble information on licensed centers, both contracted and non-contracted.

The Office For Children maintains files on family day care homes and the IRF worker can contact them directly for information on what facilities are available in a particular community.

There is also a Field Representative at some of the Regional Offices of the DPW who assembles information on centers and family day care systems. This is not done for the express purpose of I & R but the IRF workers are aware that this information is available to them when they need it.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs	Cost	Avail
Centers	yes	contin-ually	yes	yes	yes	no
Homes		contin-ually	yes	yes	yes	no
In-home	no information					

Disseminating Information: The Resource Mobilization Worker has a list of resources in a master card file that is available to the IRF Worker. The OFC has a listing of licensed family day care homes accessible for I & R. There is no real outreach attempt for clients on the part of the IRF Worker or the DPW, because of severe staffing constraints.

Assessing Client Need: The IRF Worker has the responsibility for assessing the need for child care. In cases of multiple needs of clients, a Generalist (i.e., social worker) makes this assessment since the Generalist's function is often to coordinate multiple services for clients. The child's age, family composition, hours or care needed, and location help the IRF Worker or Generalist make the decision as to which type of care is most suitable. The child's personality and/or developmental level is a consideration only if a particular problem in this area is ascertained.

In conference with the IRF Worker or Generalist, the parent is made aware of the available types of care for the child and together they make the decision as to which type of care is most suitable.

Referral and Follow-up: Once the type of care has been agreed upon, the IRF Worker or Generalist may contact an available provider or supply the parents with the necessary information adn they can visit the provider themselves. A contracted provider is always viewed as the first resource. In the case of in-home care, the most common service requested at the Community Service Area office, the parent already has a provider in mind. The provider is sent a form by the worker to be returned if there is to be service. One copy of this initial form is kept on file at the CSA office. Since there is most often no follow-up once the parent has been referred to an available provider, the receipt of this form is the only way the worker becomes informed that the service is to begin.

In the case of a simple day care request, the client contacts only the IRF Worker. The IRF worker remains responsible for the case until the inital paperwork is completed usually in 30-45 days, and then the case is transferred to a Generalist and the client is informed of this. Thus, the client learns whom to contact if there is any problem with on-going service.

In the case of multiple services to be rendered, the client speaks initally to an IRF Worker who transfers the case to a Generalist. The Generalist than contacts the provider, arranges the service, and files with the Central Office. The generalist then remains responsible for as long as there are on-going services.

When service is to be rendered through a contracted provider, the provider agency sends the application for service directly to the Purchase of Service Unit of the DPW, eliminating the paperwork processed at the CSA office. The provider communicates through the Purchase of Service Unit. The local office does not carry the case and has no responsibility for day care provision. The office may have the case for provision of other services, however.

There is very little follow-up done on the client level, due to staffing constraints. In the case of contracted service there is follow-up on the program to ensure contract compliance. However, in a babysitting arrangement, time and staff constraints preclude any real follow-up.

5-3 RESULTS

Time period: Last 3 months

	state wide	At local Worcester CSA office
Number clients seeking child care referral	3,975	160
Number actively assisted	N/A	160 - had some worker involvement
Number securing their own service	N/A	N/A
Number unable to secure services	N/A	estimated 2% were declared ineligible or withdrew request

565

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Locus of Responsibility: The policies and regulations governing child care were established by the Office of Social Services. A policy guide exists for the use of front line workers and is currently being updated in the area of state regulations.

The Assistance Payments branch of the DPW is responsible for establishing eligibility for categorical welfare payments. These AP workers refer cases to the OSS for assessment and authorization for social services. The OSS also approves services for income eligible clients.

In the contracted situation, the provider agency completes the initial application for services and sends this on to the Purchase of Service Unit for final authorization. In the non-contracted situation, the IRF worker completes the application for services form, incorporates it into the case record of child, and forwards this to the computer bank at the state level.

The actual determination of eligibility is made by the provider and reviewed by the Purchase of Service Unit staff or by the IRF worker or generalist in non-contracted situations.

The contracted provider agencies receive client eligibility determination training by the Purchase of Service Unit. This staff manually checks determinations to make sure they are accurate.

There are no fees in Massachusetts for income eligible clients.

Level of Effort: Within the contracted sphere, there is generally a one-week turnaround from the time the application is completed until the time of final determination of eligibility or non-eligibility.

Every six months there is a redetermination of eligibility, unless the original authorization was for a shorter time period of service (e.g., in training situations) at which point there is a review at the end of this time period.

The state has never accumulated data on the number of applications for child care. They also are not informed as to the amount of worker time involved in processing child care applications.

6-2 POLICY PROVISIONS

Eligible Population Categories: AFDC-WIN, AFDC-non-WIN, and income eligibles qualify for day care services. Initially the state intended to define income eligibles as those families with a gross annual income that is less than 80% of the state's median income for a family of four and pro-rated accordingly. However, in fact, the $9,900 cut-off level for a family of four represents approximately 69% of the state's median income for a family of four. Given the fact that the state is using all the funds currently allotted for child care and because there is priority given to low income people, a decision was reached not to raise this cut-off to the 80% level.

There are no priorities among those designated as eligible for service, although the state is currently working toward establishing such priorities.

In addition to membership in a fiscally eligible category, clients must be working, in training, or have a death, absence, or incapacity in the family to qualify them for day care services.

Revisions Since the Passage of Title XX: State policies have been revised to include income eligibles, although potential AFDC recipients were included in planning before Title XX and these persons were, in effect, income eligibles. The state Title XX Plan does not include provisions for serving eligibles with incomes in excess of 69% of the median.

6-3 PROCESS AND VOLUME

Applications: There are standard application forms in use throughout the state. They were developed by the Purchase of Service Unit staff. It is also the POS Unit's responsibility to manually check these completed forms for accuracy. The state does not know how many applications were received in the past year for child day care services.

Eligibility Determination: In the case of contracted provider agencies, the provider makes the actual determination and this is reviewed by the Purchase of Service Unit which makes the final approval and then keeps a record of it in the provider's file.

In non-contracted situations, the IRF worker or Generalist makes the eligibility determination and, if the client is approved for service, completes the application and sends a copy to the computer bank of the state.

The client may begin to receive service immediately after the provider or IRF worker makes the determination of eligibility.

There is no further evidence of eligibility required between the time of the initial determination of eligibility and the re-determination.

Quality Control: Massachusetts' system for social service eligibility is self-declaration.

Within the contracted sphere, the Purchase of Service Unit manually conducts monthly reviews of attendance records, matching this with the initial application information. In non-contracted situations, there is no quality control check between the time of the initial determination of eligibility and the redetermination.

The DPW becomes aware that a client has become ineligible, when informed by the provider. Clients are legally obliged to notify the provider when there is any change in family situation or income. There is a much closer relationship between the provider and the DPW in contracted situations and, therefore, this information is more easily accessible. In non-contracted situations, although a client might become ineligible, the DPW wouldn't become aware of this until a redetermination was done, or unless informed by the client.

Redetermination of Eligibility: Conducted every six months/per child.

Appeals: Number of appeals made is not available. Clients are informed of their right to appeal in those cases where they have been declared ineligible.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of responsibility: The DPW has the responsibility for approving in-home care and they have the authority to withdraw funds from a home that does not meet its approval.

The Office For Children (OFC) is responsible for issuing licenses to public and private centers (there is currently one public center) and registering family day care homes. Registration in Massachusetts meets the same standards as licensing standards and, although the procedure varies somewhat from that of licensing, it is in effect a license.

There are 39 towns in the state with permission to license their own facilities through the local Department of Public Health. There must be a qualified licensing worker and Early Childhood consultant available to them and their licensing is monitored by the OFC. In these cases, the Department of Public Health locally enforces the OFC regulations.

In order to be licensed, providers must have building, fire, and zoning inspections made. There are some regional differences in interpretation of building codes and this brings about small differences throughout the state.

Staffing: There are 13 Regional Coordinators throughout the state with the responsibility of licensing centers. There are 6 coordinators in the state who register family day day care homes. These 19 people spend 90% of their time licensing and registering child care facilities.

Currently, the licensing staff has varied background. However, it has been proposed that a licensing worker have at least 2 years experience as an administrator of a day care center. This requirement would ensure a background in Early Childhood Education and in administration. They also must display some knowledge of licensing procedures.

Licensing workers can make recommendations to their supervisor at the OFC regarding approval, denial, suspension or termination of a day care facility and the supervisor can then take recourse through legal channels. There are two attorneys in the OFC who can be consulted when necessary.

7-2 STANDARDS

Service Type	Standards Established		By What Agency or Authority	Date Updated
	State	Local		
In-home Care	Approval Standards		DPW-written 1960s	currently-Day Care Unit
Family Day Care Homes	Licensing or Registration Standards		DPW-written 1970	1976-OFC
Group Day Care Homes	--			
Public Day Care Centers	Approval Standards		DPH-written 1962	1976-OFC
Private Day Care Centers	Licensing Standards		DPH-written 1962	1976-OFC
Others: Drop-in centers, YMCA, shopping centers	Licensing Standard Being Developed		OFC	1976-being written by OFC

Standards Development Process: A Task Force on Day Care Licensing was formed in 1975 for the purpose of updating state licensing standards. This task force was composed of providers, consumers, teachers, OFC staff, early childhood educators, private citizens, faculty from universities, and other state agency staff. There were two smaller task forces formed in 1975 to study special needs in child care and infant and toddler regulations. Their findings were incorporated into the final body of regulations currently waiting approval from the Director of the OFC.

Major changes in newly revised standards: A license is now valid for 2 years for a center; new inclusion of infants and toddlers and special needs children into the day care standards; revised ratios of staff to children (lower ratios specified now); number of years experience in order to qualify as a head teacher in a center was increased.

Standards are currently in draft form and still need to be approved. However, the following figures reflect these new updated standards since they will be in effect very soon.

STANDARDS

Staff:Child Ratios

	Ages	Ratios
Centers:		
	(Infants) 6 wks-15 mos.	1:3 or 2:7
	(Toddlers) 15 mos-2 yrs 9 mos.	1:4 or 2:9
	2 yrs 9 mos-4 yrs 11 mos.	1:10
	5-6 yrs	1:15
Group Day Care Homes:		
	None (no group day care in state)	
Family Day Care Homes:		
	0-14	1:6

Comparison of Licensing Standards with FIDCR: The state has no standards which exceed FIDCR; however, in most areas the state considers its standards to be comparable.

Staff/child ratios required by the state are less stringent than those of FIDCR. For example, the FIDCR ratio for 4-6 year olds is set at 1:7 for a class not greater than 20 children. State standards for children from 2 years 9 months - 4 years 11 months require a ratio of 1:10 and for children from 5-6 years the state ratio is 1:15. Also, the state does not specify a maximum number of children to be served at one time.

Another area of difference is social services. The state does not require a social services component in day care facilities because they haven't the requisite funds for this.

FIDCR also has a stronger emphasis on parent involvement than does the state.

In areas where FIDCR is more stringent, the state stressed that their standards were established at this level because of cost constraints.

There is no additional certification process required by the state to ensure that licensees comply with FIDCR before eligible children can be placed.

All providers under contract are required to comply with FIDCR. It has become apparent to the state that many providers cannot be contracted because they are unable to meet FIDCR.

State personnel feel that while the basic premise of FIDCR is good, it is too costly to provide it, especially in the area of staff/child ratios. They feel good state licensing regulations should define the maximum compliance. The Day Care Unit has developed a state position paper regarding FIDCR which is currently being reviewed and will be presented upon approval.

The DPW does not directly provide or secure any of the FIDCR components, except in the case of medical examinations provided through the Medicaid program, because of staff and money constraints. However, the DPW does provide additional social services to clients which are not included in FIDCR (e.g., ongoing protective service counseling with the family).

For family day care homes, the dominant problem in meeting licensing requirements is the necessity of having two exits from the home.

Wood framed buildings are now prohibited by building codes in the state and this is the greatest barrier for day care centers applying for a license.

7-3 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required	Providers			Renewal Freq.	
		Total #	% Lic	% Disq	Planned	Actual
Public Centers (New Bedford Public School)	Approval by OFC (meets licensing standards)	1	100%	--	Every 2 years	Every 2 years
Private Centers	License-OFC issued	1,457	100%	unk.	Every 2 years	Every 2 years
Group Day Care Homes	--	--	--	--	--	--
Family Day Care Homes	Registration-OFC issued	1,732	100%	unk.	yearly	yearly
In-home	Approval-Day Care Unit	Unk.			no renewal	

Fees for Licenses: Currently: $15 fee for 1 year; proposed: $30 fee for 2 years.

Content of License: The registration certificate for family day care homes includes:

Date of issue
Period for which valid (and/or expiration date)
Maximum number of children to be served

The license for centers includes:

Date of issue
Expiration date
Maximum number of children to be served

Maximum hours of service in a 24-hour period
Age range of children
Special needs situations would be written on the license

7-4 LICENSING PROCESS

Areas of Investigation: Before the state switched from a licensing to a registration procedure (Oct. 1973), there was a visit made to a family day care home both before a license was issued, for an initial licensing study, and after the license was issued. Staff contraints resulted in family day care providers waiting a very long time for the initial visit. Therefore, the state switched to registration procedures.

Currently, the family day care provider is sent an initial application and a booklet of rules and regulations from the OFC upon request. The provider must then complete this self-evaluation form and produce two references (not relative) and return this information to the OFC. If the Registrar approves the application a registration certificate is issued.

Three weeks after the issuance of a registration certificate a Registrar visits the home and completes a spot-check form. The Registrar makes note of the physical characteristics of the home, provider characteristics, and the provisions for handling sick children, accidents, etc. (There is an Emergency Medical Statement that a natural parent or guardian signs, giving the provider permission to deal with any medical situation for the child in the case when parents cannot be reached). If conditions are not up to standards the registrar will return in 30 days to see if compliance has been made. If there has not been compliance the Registrar may request the home to close down voluntarily, and, if they will not, a complaint is forwarded to the central OFC legal office which will initiate proceedings to close the home.

There is a structured licensing study undertaken by a licensing worker from the OFC before a license is issued to a day care center. The following areas are covered in this study:

- the physical characteristics of the facility (including safety factors)
- staff characteristics and staff/child ratios
- educational and health components
- verification that children have medical clearances and that records are kept
- extent of parent involvement
- cars used for transporting children have seat belts

Extent and Nature of Process: Family day care providers are generally made aware that registration is required through word of mouth and because local newspapers will not accept an advertisement from an unregistered home. It usually takes an OFC Registrar one visit to conduct a study, and this is done after the registration procedure, which generally takes a month from time of application until receipt of the certificate. A family day care provider could start offering services after the initial self-evaluation but would be closed down if requirements were not met by the time the Registrar visits the home.

It takes a licensing worker, a fire inspector and a sanitation inspector one visit each, to complete a licensing study of a center when there are no problems in any area. The approximate time lapse between the initial study and the receipt of a license would, in such cases, be three to four weeks. The provider could start serving children while the licensing study is in progress.

A licensing study is conducted for all known providers.

Conditional Licenses: The state of Massachusetts issues a six-month provisional license in some cases. They are issued only to centers. Currently there are 100 provisionally licensed centers operating in the state. Teacher qualifications and staff ratios are the areas most often requiring corrective action. If there is a safety problem the center is closed immediately.

A coordinator revisits a center with a provisional license within a designated time period; this time period would vary, depending on the type of correction required. If conditions still are not met by the end of the six-month period, a second provisional license may be issued. A provider may not, therefore, operate longer than one year with a provisional license. During the past year only one center was closed for not fulfilling all the conditions necessary for a license.

Revocations: The process for revoking a license is as follows:

1. Issuance of a letter to the provider citing the violations
2. A time period for correction is stated
3. Revisit is made to see if there is compliance
4. A letter is sent to the provider informing them of a hearing if they do not comply
5. A hearing date is set

There is an appeal procedure for providers who have been denied a license or who have been closed down. No providers have had to make such an appeal.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Organizational Model: The Purchase Control Unit of the DPW is responsible for overall fiscal monitoring. The Purchase of Service Unit of the DPW monitors for all contract compliance, both fiscal and program. The Licensing Unit of the Office For Children monitors for licensing compliance. The Generalists in local DPW offices monitor their client's program to ensure a quality program.

There is no local monitoring from the point of view of the Licensing Unit since all licensing workers in regional Offices For Children are concerned with state licensing standards. There is an interrelationship between the local DPW Generalists and the Purchase of Service Unit since the spot checks of the Generalists may yield information passed on to the Purchase of Service Unit.

Level of Effort: The Purchase of Service Unit has 13 contract specialists who negotiate contracts on all social services and monitor multiple social services contracts. It has been estimated that these 13 staff members spend 50% of their time working with child care contracts. They monitor each contracted center and system of family day care homes.

The Licensing Unit of the OFC has 14 coordinators statewide who both license and spot check centers (1-2 times each year spot checking centers). There are also 7 coordinators who register and monitor family day care homes throughout the state. It is estimated that these 7 coordinators did not monitor all family day care homes last year, although most of them were visited one time.

The Purchase Control Unit has a staff of 5 who do field audits on all contracts once during the year. (Currently there are 160 day care contracts operating.)

The staff allocations for monitoring are considered to be very inadequate by all state personnel. The Licensing Unit would like to see 35 persons, rather than 21, doing licensing, registering, and monitoring of facilities. The Purchase of Service Unit also finds the current staff size inadequate to effectively negotiate and monitor all contracts.

8-2 SUMMARY OF MONITORING ACTIVITES

Provider Type	By whom monitored	Percent Monitored	Frequency	Av. Time Per Unit
Center Care	OFC Coordinators-(Lic. Workers)	60%	3-4x/year	1-2 hrs
	Purchase of Service Unit (contracted centers)	100%	4x/year	2 hrs.
Family Day Care Homes	OFC Coordinators (Registrars)	40%	3-4x/year FDC system spot check for independent FDC homes	1 hr.
	Purchase of Service Unit (contracted FDC systems)	100%	4x/year	2 hrs.

8-3 PROCESS

Areas of Investigation: There are checklists used in the monitoring process that were developed by the OFC and the Purchase of Service Unit respectively. Purchase of Service Unit staff perform on-site contract compliance and evaluation reviews (i.e., for fiscal accountability and programmatic requirements) according to an established format.

The basic strategies used in monitoring child care are telephone calls, mailed forms, scheduled site visits by the Purchase of Service Unit staff to all contracted centers, and family day care home systems, and surprise site visits by the Licensing Unit coordinators who spot check independent family day care homes and centers. Visits to the facility are the most dominant form of monitoring in both units.

A monitoring visit is scheduled on a regular basis by the Purchase of Service Unit for all contracted facilities and by the Licensing Unit for all licensed centers. In all cases of complaint a visit is scheduled to confer about the problems brought to the agency's attention.

Written reports are prepared on each individual project. They are kept on file at the Purchase of Service Unit and in the regional OFC, except in cases of violation. In these cases the central office of the OFC receives a copy of the report.

All contracts require provider agencies to make records available to the Purchase of Service Unit and all licensed facilities must allow spot checks by OFC licensing workers.

8-4 RESULTS

The Purchase of Service Unit estimates that 5% of contracted providers are out of compliance with contract standards and specifications. The hardest areas for providers to comply with, in terms of contract compliance, are in the areas of administration and the amount of parent involvement.

The Licensing Unit estimates 2% of all licensed centers and systems of family day care homes are out of compliance and 5% of all independent family day care homes are out of compliance. The most dominant area of difficulty is in the physical plant, and staff characteristics, staff-child ratios, and health requirements (keeping health records) create problems also.

There is no information on in-home care since there are only sporadic visits made by individual social workers.

When providers are found to be out of compliance they are informed about the areas of non-compliance, a target date is set for achieving compliance, and a follow-up visit is made. The Purchase of Service Unit has withdrawn children for lack of compliance, but this happens very seldom.

Technical assistance is given by the coordinator and the contract specialist on the basis of problem areas discovered at a site visit. This is done both through telephone calls and scheduled appointments.

Technical assistance has been increased by the Purchase of Service Unit to contracted providers as a result of monitoring findings.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The Purchase of Service Unit of the DPW has 13 contract specialists who provide training (fiscal concerns--completing invoices and supporting payment documentation, help in proposal writing) and technical assistance (program concerns--administrative procedures, program planning, record-keeping techniques). It is estimated that there is 1 FTE, out of 13, providing T & TA in the area of child care. All 160 contracted providers statewide received a minimum of 4 hours T.A. last year.

The DPW also has a Training Unit for the specific purpose of training DPW staff, statewide. There are 7 trainers (6 full time, 1 part-time) who train social workers and 10 trainers in Assistance Payments area (e.g., food stamps, policy changes). They provide training primarily in the completion of applications and the channels to use in processing applications. Only a small percentage of their time is spent in day care training; they spend most of their time training workers in areas of child welfare and assistance payments procedures.

The DPW Project Management Office (PMO) has 6 Management Analysts (1 per region) who work with Trainers in assessing training effectiveness and assist in training staff in departmental procedures.

The OFC provides technical assistance to providers, when requested, for the purpose of maintaining or reaching state licensing requirements.

Local: At the Regional Offices of the DPW there is an agreements development specialist from the state Purchase of Service Unit. Central Office Purchase of Service staff are assigned by region and provide liaison and support between local DPW and contractor staff and training and technical assistance to contracted providers, primarily in the area of fiscal paperwork. In the Worcester region, there is also a Field Representative for Social Services who supplies training and technical assistance (billing procedures, license requirements) to non-contracted provider billing agencies. These two staff persons spend 100% of their time providing training and technical assistance to day care provider agencies. It is estimated that in the Worcester region all contracted providers and 10% of all non-contracted providers received some training and technical assistance either through conducted workshops or on an individual basis.

Staff Background: There is no specific background required of contract specialists although many of them have years of social work experience. They are trained in-house.

The Training Unit staff must have MSW degrees and one year of supervisory experience.

Both the Agreements Development staff and the Field Representatives of DPW must have B.A. degrees and administrative experience and pass a civil service exam.

9-2 ACTIVITES

Staff Development

To Whom	By Whom	Description	Amt.
State Staff	Federal Regional Staff	Management oriented training workshops	2 sessions last year
State Staff Local Staff	State Staff	Fiscal; licensing standards	Unk.

Provider Training and Assistance

To Whom	By Whom	Description	Amt.
Centers	State Staff	Program evaluations site visits, seminars	Unk.
Homes	Local Family Day Care Home Systems	Program evalutions, Fiscal activities site visit, seminars	Unk.

9-3 PROCESS

The methods of identifying the need for T & TA include:

- Requests from providers
- Requirements of FIDCR
- Problems identified through monitoring efforts, primarily contract monitoring

Both providers and staff of DPW and OFC were identified as groups needing T & TA. The main content areas in which T & TA are needed are:

- Meeting and understanding FIDCR standards (both for providers and local DPW staff)
- Understanding fiscal procedures for contract compliance
- Encouraging parent involvement
- Implementation of social services concept as set out in FIDCR.

Site visits are utilized to provide technical assistance to providers and workshops, lectures and seminars are used to provide training. Regional meetings are used by the Training Unit staff to provide training to state employees, organized around job function.

9-4 RESULTS

All state staff expressed a need for more emphasis on training and technical assistance to providers and agency staff. The amount of time and staff energy expended on fiscal paperwork T & TA was seen as inordinate and unfortunate, leading to very little T & TA in the area of program content.

The state felt providers were very responsive to technical assistance and would be pleased if more were available. They were described as less responsive to the Title XX requirements that necessitated more information collection on applications and forms.

Regional social worker staff resistance to an increased paperwork obligation was also deemed a problem for the state.

T & TA activities concerning correct completion of forms has been very effective. The number of incorrectly completed forms has decreased.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure: Within the Executive Office of Human Services is the Department of Public Welfare (DPW). The DPW houses both the Office of Finance and the Office of Social Services (OSS) and within the OSS is the Purchase of Service Unit which has direct responsibility for the fiscal management of all contracted services, including day care services.

The following persons, by job title, are involved in fiscal management of child care:

Director of Purchase of Service Unit: Involved in all social services contracting. This unit is responsible for contolling expenditures and determining the allowability of expenditures, to some degree it is also involved in rate setting, in the contracted sphere.

Director of Day Care Unit: Responsible for day care program by writing policy and establishing procedures; writing and updating standards; coordinating placement resources and assisting providers with problems of payment or receiving referrals, and generally involved in tasks directed to quality concerns in day care.

Project Management Office: Responsible for the computerized social services system. This office determines allowability of expenditures for non-contracted social services, including day care.

Director of Administrative Support Unit: This unit is responsible for the design, development, and implementation of an integrated network of support/ancillary services to the community (including protective day care, homemakers, etc.). Along with the OSS, it is responsible for approving budgets, including day care.

Director of Office of Finance: Responsible for DPW expenditures, including Medicaid and income maintenance. It is estimated that this unit spends 25% of its time concerned with broad child care issues.

There is very little regional and local responsibility in fiscal management of child care services. There are 6 Management Analysts from the state Project Management Office who work in the six regions of the state. They work with the Regional Coordinators to make sure payment is made to providers and they help the local IRF and Generalist workers with fiscal filing procedures to ensure this flow of payment from the state Project Management Office to non-contracted providers.

There is a fiscal clerk assigned to all Community Service Area offices in the state who is responsible for batching all individual vendor payment requests (e.g., babysitter) and sending these to the

Project Management Office computer files to make sure these vendors do get paid. This clerk receives a payment listing from the PMO and, therefore, knows who received payment and who did not and the reasons why payment was denied if this occurs. This clerk is responsible for the coordination of vendor payments locally.

Local offices can authorize babysitting services. Assistance Payments workers at local Welfare Service Offices can also authorize day care services for a working client and then subtract the amount established for these services from the amount of wages the client received to ascertain the monthly grant.

Function: Policies on day care are made at the Office of Social Services, based on recommendations from the Day Care Unit (non-contracted sphere of concern) and the Purchase of Service Unit (contracted day care concerns). The entire state structure is split functionally, based on contracted and non-contracted service delivery. Thus, the Purchase of Service Unit, through its contracts with day care providers, is involved in setting rates, controlling expenditures, determining allowability of expenditures, developing program guidelines, and manually editing payment requests for all contracted facilities.

The Day Care Unit develops policies, reviews expenditure reports, and assists providers in expediting payment through the Project Management Office which is the computerized division for payment to non-contracted providers.

The regional and local DPW staff works with the Project Management Office in providing services to clients through non-contracted provider agencies, and with the regional staff of the Purchase of Service Unit in providing services through contracted arrangements.

10-2 FISCAL MATERIALS

All required fiscal materials have been developed by the Purchase of Service Unit and the Project Management Office and are regularly used. All were rated from fair to excellent, with most of them considered good.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/IV-A	$21,571,722	$21,571,722
WIN (4% of Title XX/IV-A amt)		
CWS- not used for child care services		
Other: Donated Funds (75% Fed; 25% private seed money)	2,500,000	2,500,000
TOTAL	$24,071,722	$24,071,722

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (contracted)	$12,141,000*
Vendor Payments	11,000,000
Direct Provision/Operation	none
Client Purchase, with social service funds	none
Client Purchase, with income maintenance funds	none
TOTAL	$23,141,000

* Includes $1,900,000 in funds donated for private centers and family day care systems.

10-5 DESCRIPTION OF FUNDING METHODS/PROCESSES

A. Purchase of Service: There is a written purchase of service contract for centers and for family day care home systems. There is no contract for in-home care, independent family day care providers, and for some centers. (The state originally made the decision to contract only with non-profit center agencies, although there is no legal prohibition against contracting with proprietary agencies. There are a limited number of private, profit center agencies with arrangements, either contracted or non-contracted, with the state.)

All written contracts contain all the required components.

The Purchase of Service Unit is divided into two parts: Agreements Development, which concerns itself with contract negotiation and evaluation, and Purchase Control, which is concerned with program monitoring in terms of contract compliance.

There is no large-scale sub-contracting in the state.

There are two different sets of procedures followed for provider payment in the state, depending on whether it is for a contracted or non-contracted facility.

In the contracted system, the provider sends an invoice to the Purchase of Service Unit every 30 days. This invoice includes the number of service units delivered, number of clients served, unit cost (cost per service unit), total cost, and supporting documentation (who received the service on which days during the month). The Purchase Control branch of the Purchase of Service Unit manually edits these invoices. The Unit then authorizes payment by the DPW and, in ideal situations, it takes 3 weeks from receipt of invoice to issuance of check. The contracted agencies do a self-audit twice each year and there is a DPW audit done for each contracted agency once each year.

In the non-contracted system there are two procedures for payment of day care providers. In one situation (non-medical classification), the provider gives information to the local social worker who completes the billing form and sends it to the Project Management Office (PMO) where a check is conducted and the information is placed on tape and sent to the computer files. The computer ultimately produces a payment check which is sent to the provider. In the second situation, the provider sends the bill directly to the PMO where it is more carefully edited and then placed on tape and fed into the computer. Again, the computer produces the check and it is sent to the provider. There is always a computer search against the established file to ensure correct billing and payment. It is estimated that this procedure also takes 3 weeks from receipt of invoice to issuance of payment.

B. Direct Provision: None

C. Client Purchase: None

Income maintenance funds are used for child care but the amount spent from these funds is not available since it has never been aggregated. Income maintenance clients receive a flat grant which is not increased. In work or training situations "work-related" expenses are deducted from the amount perceived as having been earned by the client, thus changing the amount of the grant received. There has been no real monitoring effort by the state in this area. There are also no specific policies that govern the use of income maintenance funds for child care.

10-6 RATE ESTABLISHMENT

Unit of Measurement: Per Child Day (6 hours or more is a "day")
Per Child Hour

Provider Type	RATES		
	Basis	Average	Range
Centers (per child day)	Actual Costs	$10 (contracted) $ 8 (non-contracted)	$5.32-12.14 $4.00-12.14
Family Day Care Homes (per child hour)*	Systems: Actual Cost Independents: Rates charged community	.65 per child hour .40 each additional child	
In-home (per child hour)*	Community Rates & Actual Costs	.65 per child hour .40 each additional child	

* No range. They are moving toward a flat rate (55¢/hr. per child) regardless of number of children.

18 mos. to 2 1/2 years:	$14 maximum
Infants:	$16 maximum (Rate Setting Commission instituted higher rate schedule for infants and toddlers).

If program serves only handicapped children: range has no upper limit

10-7 OTHER ISSUES

In-home care: Rates were established by the Day Care Unit in 1970. They were based both on community rates and actual costs.

If relatives live in home, they are not eligible for payment.

Client (family) is considered to be the employer of a babysitter. Therefore, the state is not involved in a minimum wage issue. They studied Department of Labor definitions of "employer" and "employee" to find guidance.

Income eligibles and parent fees: Since only those persons earning less than 80% of the state's median income are eligible for service, there are no fee schedules or parent fees. Ineligibles must pay the full cost of care.

Donations: $625,000 was collected in FY75 in private seed money. This was matched by 75% federal money to bring the Donated Funds amount to $2,500,000.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: A State-administered system is used in Michigan.

Description of Administrative Structure: The Department of Social Services is the designated social services (Title XX) agency in the State of Michigan. In April of 1975 the Director of the Department of Social Services initiated a major reorganization of the Department. Several significant changes were made at that time: The positions of Chief Deputy Director and Deputy Director were established; the Office of Standards and Investigation was established combining the Inspector General, Quality Control, and Internal Audit; the Bureau of Finance was established uniting the Budget, Accounting, and Research and Evaluation functions.

On February 16, 1976 the Department's Director announced a further reorganization of the Department. Many of the specifics of this reorganization remained to be determined at the time of the field visit. The most significant change in this latest reorganization was the consolidation of the Department into three administrations: the Departmental Services Administration, the Field Services Administration, and the Citizen Services Administration.

Under the old organizational structure, the Day Care Services Division of the Office of Family Services within the Bureau of Social Services was responsible for program development, training and technical assistance, eligibility determination, policy setting, and to some extent, planning. Under the reorganization the Bureau of Social Services will fall under the Citizens Services Administration, but will retain the same functions. Additionally, the Bureau of Management Information Systems contributes data to the planning process under the reorganized structure.

The Day Care Licensing Division of the Office of Interagency Services was responsible for licensing/certification/approval, information and referral, and monitoring under the old organizational structure. This unit will move to the Bureau of Licensing of the Field Services Administration under the reorganization, but will retain the same functions.

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The Michigan site visit was conducted in February 1976. Interviews were held at the State Department of Social Services and with county agency personnel in Ingham and Wayne counties

Fiscal Management was the responsibility of the Purchase of Service and Payments Control Division of the Office of Interagency Services in the old Bureau of Social Services. This function has been reorganized into a Documents Control Section and a Payments Control Section which is located in the Fiscal and Administrative Management unit of the Office of Services Coordination within the Bureau of Social Services. The Bureau of Social Services falls within the Citizen Services Administration under the reorganization.

The counties are responsible for the bulk of information and referral and for eligibility determination within State established guidelines.

Regional offices of the State have recently been abolished and these functions assigned to State central office staff. Michigan has established a State Day Care Advisory Committee which is coordinated by the Office of Family Services.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 75	FY 76
Total Social Services Funds (Titles IV-A/XX)	124,000,000	144,027,490
Total Child Care Funds (Titles IV-A/XX)	29,351,784	41,335,891
Percentage of Total Social Services Funds Allocated to Child Care	23.7	28.7

Note that total child care funds do not include either Adult Day Care or services for the mentally retarded.

Total social services and total child care funds are comprised solely of State and Federal contributions; no other funds are received or used.

The percentage of social service funds allocated to child care in Michigan is 29%. No data concerning the proportions of total social service staff time devoted to child care is known, although it can be assumed that, as Michigan places a higher priority on child care, staff time is probably high.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Provider	Number FFP Children (Per week)	Actual Expenditures FY 75	Anticipated Expenditures FY 76
Public Centers	0	0	0	0
Private Centers	380	16,218	9,600,000	10,000,000*
Group Day Care Homes	1	8	($ included in Family Day Care Homes)	
Family Day Care Homes	4,000	11,367	4,500,000	5,000,000*
In-Home Care	12,000	42,060	13,600,000	15,000,000
Total	16,381	69,653	27,700,000	30,000,000*

*Approximate figures cited during field interview.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	Yes	Family	Local
Standardized Social Service Forms	Yes	Family	State & Local
Computerized Records	Yes	Family	State

Extent of Data: The following information is obtained: identifiers, eligibility data (extensive), gross service cost data. No demographic or achievement data is collected. The State position in general is that demographic and program data are not necessary since day care is primarily an adjunct to employment.

Data Aggregation: Aggregation of data occurs only at the State level. Reports generated include reports on the following: providers, licenses, payments, warrant listing, payment summary by family, provider by county, family day care home by county. Michigan is computerized and the reports indicated are computer produced. The social service reporting requirement will be completed by the Bureau of Management Information Systems in concert with State day care personnel. Ill-defined terms (case, client, etc.) were the major problems identified with respect to completing the SSRR forms. Counties also complained of too much and duplicative paper work.

1-5 STATUTES

Child care services in Michigan are governed by Act No. 116 of the Public Acts of 1973, which provides for the licensing and regulation of child care organizations. In accordance with Act No. 116, the Department of Social Services revised the Administrative Rules governing child care centers in September 1975 and held public hearings on the rules in November 1975. Some further revisions in response to the hearings are contemplated.

The rules promulgated by the department are used by the Department of Public Health, the Fire Marshal and local authorities in the inspection of child care facilities. Some local districts have additional health ordinances which are enforced by the State.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The following problems/strengths were identified during discussions with State and county agency personnel. It should be noted that these statements, as are the majority of the other information presented in this summary report, are self reports provided by the individuals interviewed. They are not the product of an evaluation or are they judgments made by Unco, Inc. or the regional office.

- FIDCR STANDARDS/ENFORCEMENT - A more concise definition of "day care" is needed. Problems have developed concerning the enforcement of day care standards and regulations; both State and county officials reported the unwillingness of District Attorneys to prosecute day care regulation violators.

- INFORMATION/PUBLIC EDUCATION - Although sections of the Title XX Plan are published, non-AFDC mothers often have difficulty learning the availability of day care services.

- SYSTEMS DEVELOPMENT - The new EDP-supported payment system, with more accurate inputs, and internal audits for double-checking purposes, is felt to be a significant improvement upon the previous system. The State manual for caseworkers and providers was cited as a useful tool.

2. NEEDS ASSESSMENT

Needs analysis at the State level is limited to demand for services estimation as part of the budget development process. Little analysis of day care need by geographic area, needs for various services or needs for auxiliary services is done. Neither needs assessment instruments nor methodologies have been developed. An ad hoc needs assessment for Title XX purposes was developed and census information, statistical reports, etc., assessed for this purpose. A planning conference was also held and data from this conference was aggregated by service area (aging, handicapped, etc.).

Data sources that might provide information for needs analysis, such as information and referral encounter/case data is not accessed or compiled for this purpose. Day care in Michigan is designed as a supporting service to the main objective of employing single parent heads of households. Need, therefore, is a function of eligibility and number of mothers seeking gainful employment. Although there is no needs assessment at the county level, county personnel indicated an understanding of local needs at the caseworker level. The only vehicle for translation of this knowledge into services is the once-a-year county memorandum and the process, as indicated above, does not permit incorporation of this data into a comprehensive State plan except in narrowly defined demand projections.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: The Day Care Service Division is responsible for planning for day care services.

No special planning process has been established for day care. Responsibility for planning rests with the Office of Family Services, Day Care Services Division. Planning has tended to be ad hoc: to plan a new payment system, develop a Title XX plan, revise the caseworker's procedure manual, etc. Little planning is done at the county level beyond staff allocation planning on the basis of projected workload. The counties indicated there is little flexibility for county planning. County input is sought in the State planning process in the form of memoranda outlining local social service needs. Title XX has forced implementation of a more thorough planning process with greater county involvement and this process is expected to yield a better understanding of social service needs in years to come.

Title XX Planning: A special ad hoc group was formed to conduct Title XX Planning. Because of severe time constraints, a formalized planning process was not established for the preparation of the present social services plan (Title XX). Time constraints also limited review of available data. Subsequent plans should reflect more comprehensive data analysis. Input from the Bureau of Management Information Systems is expected in future planning activities.

3-2 PLANNING PROCESS

A systematic approach/process for planning other than budget development has not been developed in Michigan. An advisory committee has been established. The MIS is expected to generate valuable information on needs, clients, services, and costs in future years. It is expected that a more formalized planning process will evolve, in part as a response to Title XX requirements. A shortage of personnel limits present planning activity in the State.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be served	yes	yes	ADC children=31,500 income eligible Children-13,100 Total=44,600	more
Population Categories to be served	yes	yes	AFDC, income eligible	same
Priority Population Categories	yes	yes	Migrants	--
Service provider types	yes	yes	Centers, homes, aides	--
Special provider attributes	no	no	--	--
Georgraphic Areas	yes	yes	By county	
Dollars allocated for child care service	yes	yes	$41,174,202	

Planned Organizational Changes: As previously explained, massive departmental reorganization is presently under way. Ad hoc planning activity also led to a revised payment system. Additional organizational changes will likely take place once the present reorganization has been effected.

3-4 UTILIZATION/IMPLEMENTATION

Implementation of the planned departmental reorganization is presently under way. Implementation of the new payment system was completed and the new system was to begin in February but was held up by a threatened injunction. State staff are presently modifying the system's units of service following which implementation will take place. No other planning sufficiently advanced to merit implementation has been performed.

4. EVALUATION

Currently, there is no ongoing evaluation process in Michigan. With the exception of specific problem areas, such as revision of the payment system and departmental reorganization, no recent day care evaluations have been made.

No program evaluation unit has been established and no future evaluation activities are anticipated.

The Michigan Department of Social Services is currently conducting a demonstration project concerning registration of family day care homes. The projects purpose is to evaluate whether registration may be a more effective, efficient and economical type of regulatory method than licensing. Six sample counties are divided into three groups as follows: two counties have registration including the two components of training and public information; two counties have licensing with training and public information components identical to those of registration; and two counties serve as controls, with licensing as currently practiced in Michigan. While only preliminary findings are available at this writing, the projects first interim report (February 12, 1976) indicated that registration had thus far resulted in a greater number of homes being regulated than did licensing and that providers are more willing to be registered than licensed.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I&R SERVICES

The State of Michigan maintains a general purpose Information and Referral Unit which has an unusually high contact volume (166,648 in November 1975). This service provides information on all social services and, with respect to day care, refers contact to the counties for additional information. The counties provide the bulk of day care I&R, which is usually handled by an eligibility worker within the county Department of Social Services.

5-2 PROCESS

Assembling Information:

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hours	Rates	Avail.
Centers	Yes	Constant	Yes	Yes	Yes	No
Homes	Yes	Constant	Yes	Yes	Yes	No
In-home	Yes	Constant	Yes	Yes	Yes	No

Information on centers, homes, and in-home care is collected at the county and State levels and forwarded to a centralized State location for summarization. Data and summaries are maintained at both levels.

Disseminating Information: Summaries of providers, services, etc., are disseminated to counties by the State. Information on day care is available with information on all social services. While some materials are available and disseminated at the State level, the majority of day care information is disseminated by word-of-mouth, and from referral by the income maintenance caseworker. There is little general publicity on the program and it is sometimes difficult for an income eligible non-AFDC or WIN mother to learn of the day care program.

Assessing Client Need/Referral and Follow-up: Number and age of children, place of residence, proximity to day care facilities and related factors are considered in assisting the mother with placement. Approximately 1-2 hours is needed for this initial encounter assessment, and placement recommendation. The same worker handles the I&R contact, the needs assessment, and placement. Ultimately, this worker will write the authorization for care which enters the children into the reimbursement system.

The parent makes the final determination of the specific center or home in which his/her child is placed for care. The caseworker is then responsible for follow-up as caseload permits.

5-3 RESULTS

Numbers of contacts and cases specifically for day care I&R were not available. However, data on I&R for all social services is presented below.

I&R Contacts November 1975

# contacts statewide	166,648
# contacts Ingham County	1,896
# contacts Wayne County	110,000

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are established by the State and incorporated into a "services manual" for caseworkers. The caseworker at the county level is responsible for conducting the eligibility determination. Thus, the caseworker has initial I&R contact responsibility, receives the day care application, conducts the eligibility determination, assists in final placement, writes the authorization for payment, and is responsible for follow-up.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC, WIN, CWS, SSI
- Income eligibles, defined on a sliding scale as a function of Gross Annual Income and family size
  - Free care for families earning up to 45% of the State median income;
  - Full cost to families earning over 80% of the State median income;
- Population priorities: none specified.

Revisions Since the Passage of Title XX: None

Materials to Ensure Uniform Interpretations: A Services Manual for State personnel and county staff (including caseworkers) and a Provider's Manual explaining the day care licensing and reimbursement process to providers, have been developed.

6-3 PROCESS AND VOLUME

Applications: Standardized forms developed by the State Day Care Services Division and covering necessary family, eligibility, and service information are used throughout the State.

Applications may be obtained from and submitted to the county caseworker in the respective county social service agency. No aggregation of number of applications was available at the State level. For Ingham County approximately 100 applications are taken each month out of 150 contacts.

Elibibility Determination and Verification: The State Department of Social Services has developed a "Services Manual" which guides caseworkers at the county level in eligibility determination. Basically, eligibility for subsidized day care is a function of two criteria: income and need for service. No income tests are necessary if the individual is an AFDC, WIN, CWS or SSI recipient. If the client is not such a recipient but still low income, an income determination will be made by the caseworker using tables provided by the State. The client's gross monthly income is computed according to established items to be included/excluded. This income is then compared to the incomes in the previously mentioned table to ascertain eligibility. If eligible, verification takes place. With respect to need for service, a determination is made following the guidelines in the manual of the requirement for day care so that the mother may work, go to school, or receive training. With income and need eligibility established, the contact person can proceed with referral.

The emphasis in the eligibility determination process is to assist rather than to obstruct a client seeking social services. Verification is defined by the Services Manual as "that which would lead a reasonable person to conclude that the applicant does meet all eligibility criteria."

The time lapse from application to eligibility determination, verification, and authorization for day care varies substantially, but averages 1-2 weeks. Most of this time is for document return as part of the verification process. Michigan does have a provision for ante-dating authorization so that in some circumstances day care may commence prior to final verification. The number of day care eligible familes or children in the State or at the county level was not known.

Quality Control: Routine or systematized quality control procedures have not been established in Michigan. Standardized application forms, the social services manual, the handbook for caseworkers and occasional training sessions lend uniformity to the application of State regulations. However, no routinized process of reviewing county eligibility determinations by State personnel is operative. The Payments Control Division does perform infrequent audits as one element of quality control. The level and extent of existing quality control in Michigan is a function of the availability of personnel.

Redetermination of Eligibility: According to the State's Title XX plan, eligibility redetermination is to be conducted every 3 months. The same process as for an initial application is repeated during redetermination and the same form is used.

Appeals: Michigan has an established appeals process which is defined in the most recent release of the services manual (Item 40 of manual supplement letter #75-16 dated October 1, 1975). A 10-day "suspense period" is instituted whenever a denial, cancellation or reduction of services is undertaken. If the client appeals within this period, no further action is taken until the appeal is heard. Following the appeal the client is notified of the action taken.

6-4 PARENT FEES

A sliding fee scale based on type of service, income, and family size is incorporated in the Michigan system.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Department of Social Services is responsible for developing policies and procedures for licensing of day care centers, group day care homes, and family day care homes. Licensing of day care centers is carried out by State office staff, while county office staff are responsible for licensing family day care homes.

Staffing: In the Day Care Division section of the Bureau of Licensing, there are a director, three supervisors who coordinate field activities, and 30 consultants who are responsible for making contacts with the providers. It is hoped that there will be a State office staff person assigned for group day care homes. For family day care homes, each county has its own licensing operation, coordinated by a specialist in the State office.

The field workers in day care center licensing must have a master's degree, preferably in education or child development, and three year's experience working with children. Their salary range is $13,500-18,300. The family day care home licensing workers must have a bachelor's degree; their salaries range from $10,600 to $13,400.

Day care center licensing workers have caseloads ranging from 55-75 centers, while caseloads for workers in family day care home licensing range from 140-550.

All licensing workers refer their recommendations for issuance or adverse actions to the State office of the Department of Social Services. The State office has the ultimate authority for granting, denying or revoking licenses, and any problems in the counties which cannot be solved by the State Day Care Center supervisors or Family Day Care Home specialist are referred to the director of the Day Care Division.

7-2 STANDARDS

Standards Development Process: The Department of Social Services is mandated by Act No. 116 of the Public Acts of 1973 to establish an ad hoc committee for each type of child care when rules or amendments to rules are being formulated. The Act specifies that the committee must include representatives from the departments of Public Health, Education, Mental Health, and State Fire Safety Board, as well as providers and consumers. New licensing rules for family day care homes were promulgated in March 1973 by an ad hoc committee as described above which also included county licensing personnel and a child development specialist. There had previously been no licensing rules specifically for family day care homes.

Although there are no promulgated rules in effect for group day care homes, it is expected that the promulgation process will begin in late summer of 1976.

The proposed day care center licensing rules were drawn up by a 41-member ad hoc committee formed to expand and revise the previous rules, which were promulgated in 1954. In addition to the members required by State law, other members of the committee came from all geographic areas of the State and represented a variety of provider types. Several parents were also on the committee, which had subcommittees in the following areas: health and nutrition, program and equipment, fire and building safety, transportation, and administration. The new standards underwent public hearings in November 1975 and are still being revised. No major changes are contemplated, however, and the new standards hopefully will go into effect late in 1976.

Content of Standards:

Staff-Child Ratios

Centers: (More than 6 children)	Ages	Minimum	Ratios
	0-2 1/2	1:04	
	2 1/2-3	1:10	1:8
	4	1:12	1:10
	5 or over	1:20	1:15
	2 1/2-5 (mixed age group)	1:10	1:08
Family Day Care Homes: (6 or fewer children)			
	All Ages*	1:06 (includes caregiver's children under 7)	

** No more than 2 shall be under the age of 12 months per caregiver.*

Additional Components of Standards: Michigan's licensing standards do not directly address content of programs but simply list the broad categories of activities a center's program should cover. Other issues included in standards are equipment, environmental standards, records for staff and children, personnel qualifications, and transportation.

Providers of in-home care are called child care aides and certified and monitored by the Division of Day Care Services.

Comparison of Standards and FIDCR: Michigan's current rules for licensing centers are more comprehensive than FIDCR in the area of physical facilities. The State rules do not currently specify frequency of meals and snacks or provide for parent visitations to the center, although such rules are being proposed. Rules are also proposed to provide a separate area for ill children, to have emergency telephone numbers on file, and to have a non-pay telephone accessible. No provisions currently are made for on-the-job training or self-evaluation and although written personnel policies are required, their content is not specified. Michigan's staff-child ratios for centers do not meet the FIDCR.

Family day care home provider rules for facilities and parent involvement are more comprehensive than the FIDCR. In addition, Michigan's rules specify that no more than 2 children under 12 months may be cared for. The regulations do not specify self-evaluation or social services requirements. All other requirements compare favorably with the FIDCR.

The State Office is awaiting clarification from DHEW before enforcing the FIDCR, or determining the expense and amount of effort required to bring providers into compliance. Accordingly, no data is currently available and no process has been established. The same people responsible for licensing and monitoring will also handle certification, and computer records on centers and family day care homes will contain separate information concerning certification. The State Office anticipates that FIDCR could have an impact on 20%-30% of the centers. Some centers may go out of business for financial reasons because of inability to meet staff-child ratios while other centers may begin to accept fewer federally-subsidized children. The impact on homes may be that fewer providers request certification and therefore that there will be fewer homes available for federally-subsidized children.

7-3 SUMMARY OF LICENSING ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	% Sanctioned	% Disq.	Planned	Actual
Public Centers	Approval**	200	100%	.1%	6 mo. for provisional licenses, 2 yrs. for regular licenses	
Private Centers	License	1,300	100%	.1%	2 yrs. for regular licenses	
Group Day Care Homes	License	6	(have not yet begun full regulatory program)		2 yrs. for regular licenses	
Family Day Care Homes	License	10,800	100%	Not available	2 yrs. for regular licenses	
Relative DCH's	None	-	-	-	-	-
In-Home	Certification	13,000	100%	Not available	1 yr.	1 yr*

**Will be 2 years in October 1976.*
***The Center must meet State-determined standards (health, building, etc.), but a license is not required.*

Fees for Licenses: None are charged.

Content of License: The license for day care centers and family day care homes includes:

- name and address of provider
- nature of license (whether regular or provisional)
- capacity and age range of children to be cared for
- expiration date and effective date
- provider license number

7-4 LICENSING PROCESS

Areas of Investigation: A standardized form, currently being revised, covers the following areas for day care centers:

- program and equipment
- personnel educational and health qualifications
- environmental standards (ventilation, water supply, etc.)
- transportation
- structure of recreational/educational program
- child records (health, attendance, emergency information

The following areas are addressed regarding day care homes:

- provider characteristics
- staff-child ratios
- physical characteristics of structure
- educational and recreational facilities/capability
- caregiver and child records (health, medication, attendance and emergency information)
- program and equipment

Extent and Nature of Process: Applicants for day care centers are given copies of the licensing requirements and the name of the licensing consultant in their area by the State Office. The consultants are responsible for arranging for fire and health inspections and for making providers aware of any other authorities who may have jurisdiction in their geographic area, e.g., zoning boards. The consultants also check the equipment, and the center's plans for program and number of personnel. If a center is in compliance, a 6-month provisional license is issued. The consultants check to see that program and staff ratios are adequate after the center is operational and either issue a regular license or another provisional license. The time involved from initial contact to licensing averages six weeks, usually requiring fifteen hours of a consultant's time per center.

Those wishing to obtain licenses for family day care homes are processed through the county Department of Social Services. A County worker inspects the home to find whether it meets the fire, health and physical plant requirements, then checks personal references and the provider's plans for emergency medical care. After all references are checked, a second home visit may be made to ensure the physical facilities are in compliance. Applications usually take six weeks to process and involve eight hours of staff time per home.

Conditional Licenses: Conditional licenses are issued for a period of six months when a day care center or family day care home becomes operational. After six months the licensing consultants conduct a follow-up visit to ensure compliance with all licensing requirements, and if the center or family day care home is in compliance, a two-year license is issued.

If a day care center is found to be out of compliance, another six month provisional license usually will be issued by the State. Depending on the nature of the deficiency, the State may require compliance in a shorter period of time, usually 30 days. The most common violations are unsatisfactory staff-child ratios and fire or health hazards. Approximately 12% of the centers currently have provisional licenses.

Family day care home provisional licenses are recommended by the county workers and are usually the result of numerous minor physical deficiencies such as lack of handrail on the steps. A provisional license is usually issued if the caregiver has not had a TB test and/or physician's statement. Only 3%-5% of the family day care homes are out of compliance.

Conditional licenses for centers and group and family day care homes may be issued for a total of no more than four consecutive times.

Revocations: If a day care center is out of compliance, the State notifies the provider of the deficiencies and gives a reasonable time to comply. If after the time is elapsed a follow-up visit indicates no amelioration has been made, the State sends a warning letter and specifies the type of adverse action that is intended. (If the center has a regular action, it may be put on provisional status. If it has a conditional license, that may be revoked.) After a second follow-up visit, if the deficiency continues, the worker notifies the State and the director of day care licensing or the director of the Department of Social Services makes the decision on what action to take. The Center has 30 days in which to appeal the decision. Only one Center has ever had its license revoked.

The process is parallel for group and family day care homes. Very few licenses have ever been revoked.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The same individuals responsible for initial licensing of day care centers and group and family day care homes are responsible for monitoring.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	State Office Licensing Consultants	100%	100%	100%	Provisional-semi-annually Regular-annually	8 hours
Private Centers	State Office Licensing Consultants	100%	100%	100%	"	8 hours
Group Day Care Homes	County Licensing Workers	100%	100%	100%	"	2-3 hours
Family Day Care Homes	County service or licensing	100%	100%	100%	"	2-3 hours
In-Home	County service or Licensing Worker	70%	100%	N.A.	Quarterly	Varies

8-3 PROCESS

Monitoring in Michigan is a formally mandated process. Procedures for monitoring centers and homes have been developed and are being refined.

Although regular day care licenses are issued for a 2-year period, visits are required annually to ensure compliance with the State standards. A State consultant arranges a time with the center and usually visits for a full day, or the duration of the center's program. If there is some deficiency, the center is put on notice that there will be a subsequent visit within a specified time period.

County workers licensing family day care homes visit the homes at least 2-3 hours annually to ensure compliance. The workers maintain contact with providers by making frequent telephone calls.

8-4 RESULTS

Day care centers have the most difficulty complying with staff-child ratios and fire and health regulations. Inadequate equipment is a problem occasionally.

Family day care homes are most often out of compliance for facility deficiencies. However, these deficiencies are usually minor and do not directly affect the safety of the children.

Only 3%-5% of the group and family day care homes and approximately 12% of the centers currently have provisional licenses because of non-compliance with the State licensing standards.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The day care licensing section of the Bureau of Licensing is responsible for providing training and technical assistance to centers throughout the State. Although there is no formal procedure for such, the 30 consultants who carry out field arrangements for center licensing also provide technical assistance to day care center personnel as needed. The assistance is most often in response to providers' specific requests for help in locating professionals to do psychological testing for children with special needs or parent counseling, or for additional clarification on the FIDCR or State Licensing Requirements, especially concerning programs.

Personnel from the Department's Payment Control Section undertook an intensive training program for center providers concerning the new payment system instituted in February 1976. The training was timed to be concluded shortly before implementation of the new system. Providers received memoranda outlining the system and a manual for relating to the system. County liaisons from the State Department as well as county day care personnel participated in the training sessions.

Local: Training and technical assistance are available on an as-needed basis to family day care home providers through the county licensing workers. No formal training is provided to county workers by the State consultants, but consultations occur frequently.

Because training is so informal, no FTE staff level figures are available.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State Office Administrative Personnel	Personnel from various State agencies	Specific rule and process interpretation	3-4 times/yr.
State Licensing Consultants	State office	Initial familiarization with licensing requirements; staff meetings; conferences and workshops	Several times a year
County Licensing Workers	State office	Consultation as needed, mostly in connection with interpreting the State licensing requirements and procedures in response to specific questions from providers	Varies from weekly to quarterly

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Day Care Centers	State Licensing Consultants	Consultation as needed to help providers interprete State licensing regulations, locate professionals to assist with children who have special needs, and improve program	Varies
Family Day Care Homes	County Licensing Worker	Consultation as needed, usually to help provider receive payments from the welfare agency	Varies

9-3 PROCESS

Identification of Need for Training and Technical Assistance: There are no standardized methods for determining need for training and technical assistance. Whenever family day care home providers have questions concerning interpretation of the licensing rules, need assistance in record keeping activities, or have trouble receiving payment from the welfare agency, they contact the county licensing personnel. The 30 day care consultants handle all requests from day care center providers for assistance in coming into compliance with licensing regulations and keeping records.

9-4 RESULTS

County licensing workers stated that the amount of training and assistance available to family day care home providers is adequate and responsive to the providers' needs. However, the State Office is encouraging an increase in training and assistance. The State Office is unable to evaluate the quality or availability of training or technical assistance to day care centers. When the State begins to implement the FIDCR, however, a massive and comprehensive training program will be implemented for all day care licensing consultants, county licensing workers for family day care homes, and day care center and family day care home providers.

9-5 PRINTED MATERIALS

None have been prepared.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The State has sole responsibility for fiscal management functions related to day care. Under the present (February 10, 1976) departmental organization, fiscal management is the responsibility of the Documents Control Section and Payments Control Section of the Division of Fiscal Resource Management within the Bureau of Social Services. The Documents Control section receives authorization and other intake data from county caseworkers and requisitions payments. The Payments Control Section writes checks based on the requisitions.

Local - Although theoretically not involved in the fiscal management process, county workers are the source of initial input to the fiscal management system. Additionally, while the State Payments Control section is ultimately responsible for adjustments in over/under payment situations, it is the county caseworkers, with daily contact with clients and providers, who typically are the initial and follow-up contacts in such situations. Thus, on an informal basis, counties do play a role in fiscal management.

10-2 FISCAL MATERIALS

The State of Michigan has just completed a one-year project to develop a new payment system for the day care program. Providers, consumers, and management experts at the State level collaborated in the systems development. Administration memorandum #161 outlined procedures for implementing the new system and also announced training sessions for providers to be conducted by State and county staff. A "Day Care Providers Payment Manual" was also developed to assist providers in relating to the new system.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	$26,771,664 91.2	Not Available
WIN	1,928,314 6.5	Not Available
CWS	0	Not Available
Other: Staff	651,805 2.3	Not Available
TOTAL	29,351,783	Not Available

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE DELIVERY*

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Purchase of Service Contracted Facilities	14,000,000	15,000,000
Vendor-Paid Facilities	0	0
Direct Provision/ Operation	0	0
Client Purchase with Social Service Reimbursement	13,700,000	15,000,000
TOTAL	27,700,000	30,000,000

*Source cited 10-3; these figures are approximations.

Description of Funding Methods/Processes:

A. Purchase of Service: Michigan's purchase of service payment process consists of the following steps:

- After eligibility determination and verification, a county caseworker writes an authorization for care which specifies the name of the child, the number of units of care (based on 1/2 day, 1/2 to full day, full day or more), the name of the provider, and a staff date.
- The authorization is forwarded to the Documents Control office in the State Department of Social Services where routine edits are performed and a requisition is prepared. The new child will be added to a requisition for the provider in question along with other children already in the system. Thus a provider receives but one check for all the publicly supported children in his care. If the provider is a new provider, an extensive contract is forwarded and signed prior to payment. Different contracts are used for centers, family day care homes, and in-home providers.
- The requisitions are forwarded to payments control where the rates/unit of care are fed in, reimbursements/client is calculated, reimbursement center is aggregated, and a check is written. Routine edits are also performed at this point and double checks made as to payments.
- Occasional audits are conducted to assure appropriate payment and combat fraud, intentional or other wise.
- No large scale subcontracting is undertaken.

B. Direct Provision: Direct provision is limited and of a "demonstration" or "special project" nature. Therefore, no routine fiscal system has been established.

C. Client Purchase: The client payment system is essentially the same as the Purchase of Service procedure except that the check is made out to the client instead of the provider. As a check against misappropriation of funds, the client must turn in a receipt signed by the provider of in-home care prior to payment the following month.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per child full time (i.e., 9 hours/day)

Provider Type	Basis	Rates	Average	Range
Centers	Cost charges private clients within State minimum/maximum	6.70 maximum	6.30	6.50/6.70
Family Day Care Homes	Flat rate	3.54	3.54	3.54
In-home	Flat rate	4.68 for first child 2.34 for each additional	-	-

Rate floors and ceilings are established by the State Legislature by category of provider (center, home, or in-home). Family day care homes and in-home care are essentially flat-rated. Centers are limited to charging the same fees as private paying clients within the State-established range.

10-6 IN-HOME CARE

Providers must be 16 years of age, have the ability to read, and to follow instructions, be able to prepare meals and meet certain health and personal standards. They may not provide care for more than six children, including the provider's own or others living in the home, and no more than two children being cared for may be under 12 months of age.

10-7 INCOME ELIGIBLES AND PARENT FEES

Sliding fee scales are used for income eligibles, using gross income and family size as the basis for assessing level of parental reimbursement.

10-8 DONATIONS

No third party donations are received at any level from any source.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: Minnesota operates under a "State Supervised-Locally Administered" system for social service delivery.

Description of Administrative Structure: The designated State Agency for child care services in Minnesota is the Department of Public Welfare (DPW), which is an umbrella agency. The Department has recently undergone reorganization and now has three Bureaus: Income Maintenance, Community Services, and Residential Services, and six central offices; Support Services, Personnel, Medical Director, Hearing Examiner, Legal Services, Fiscal Control, and Evaluation.

The Division of Social Services within the Bureau of Community Services has designated supervisory responsibility for all social services, including child day care. This Division administers Title XX, Title IV-B, and WIN. Within the same Bureau, the Licensing Division has responsibility for licensing and certification and Community Programs Division is involved in administration of Minnesota Child Care Facilities Act Funds.

State level fiscal management is the responsibility of the Controller's Office. This responsibility is primarily supervisory since fiscal decision making occurs at the county level, supervised at the State level by the Division of Social Services and the Controller's Office. The State DPW Controller's Office determines allowability of expenditures submitted by the counties to the State. Purchase of service contracting is also a county function.

There are no regional offices, although there are certain staff responsibilities (e.g., licensing) allocated on a regional basis.

Client eligibility is determined at the county level by the provider and county social service personnel in accordance with State guidelines. Needs assessment and planning are also county responsibilities. The Division of Social Services at the State DPW aggregates information from county social service plans and incorporates it into one State social service plan. Contiguous counties have the prerogative to join together for needs assessment and planning.

There currently is an Office of Human Services studying the organization of State agencies. Possible impact for child care management is unknown at this time.

Linkages with other State, local and private agencies are primarily effected through the Minnesota Child Care Advisory Council and local advisory committees. These local advisory committees provide input for needs assessment and planning for child care.

*****

The Minnesota site visit was conducted in February, 1976. Interviews were held with State Agency staff, and local agency staff in Hennepin and Olmsted counties.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures	Allocations
	FY 75	FY 76
Total Social Services Funds (Titles IV-A/XX)	62,000,000	62,000,000
Total Child Care Funds (Titles IV-A/XX)	Unk.	7,992,533
Percentage of Total Social Services Funds Allocated to Child Care	Unk.	13%

FY 75 child care expenditures are not available on a statewide basis. This information would have to be obtained from compiling individual county data.

Through the Child Care Facilities Act, Minnesota has also appropriated $662,360 for FY 76 and $750,000 for FY 77. This fund is used for a limited amount of State staffing and for grants to facilities, local advisory committees, etc., to provide up to 50% of their start-up costs. (Grants may also be used as local match for Title XX.)

The proportion of total social service staff allocated to child care is unknown, but would not provide an accurate picture because of separation of functions within the State and between State and county agencies. Four FTE staff within the Social Service Division are specifically assigned to day care, which includes not only Title XX, but IV-B, WIN, and Minnesota Child Care Facilities Act Administration.

Costs for administration of Title XX day care only are estimated at $422,275 for FY 76.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children (Per quarter)_)	Actual Expenditures FY 75	Anticipated Expenditures FY 76
Public Centers	4	200	Information not available for FY 75	1,682,227
Private Centers	768 lic. 261 cert.	2,842(e)		
Group Day Care Homes	190	2,174(e)		1,170,820
Family Day Care Homes	Approx. 4,000			
In-Home Care	N/A			
Total	4,962	33,013		9,886,549

* Includes all licensed, approved or otherwise sanctioned providers.

Above estimated figures are taken from request for reimbursement forms from Hennepin and Ramsey counties for 2 quarters. These two counties represent 85% of the child care in the State. The figures include number of children and dollars expended through purchase of service contracts and vendor payments. They do not include care for children through the recipient's grant or in-home care.

There are approximately four public centers operated by local governments. All other centers are private centers. Family, group family, and in-home care are available, but used primarily for non-Title XX care (WIN, income maintenance funds, etc.). Approximately two-thirds of Title XX care is purchased in day care centers. Family day care and in-home care represent the other one-third. Some centers have developed family day care homes to provide broader service within a day care system.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	YES	FAMILY	LOCAL
Standardized Social Service Forms	YES	FAMILY	LOCAL
Computerized Records	YES	FAMILY	STATE AND SOME LOCAL

Extent of Data: The State has recommended through a policy bulletin the information that should be included in county narrative case records for recipients of child care services, in conjunction with a child development service plan. This information includes involvement of the parent in development of the child's service plan, choices given to parent of at least three approved vendors (including more than one type of care), recommendation for a pre-placement visit, follow-up reviews, rationale behind parent's choice, and report on appointment for Early Periodic Screening Diagnosis and Treatment.

The following standardized social service forms are available for county use: 1) an application for social services, 2) family income declaration and agency verification, and 3) service plan and agreement. The service plan agreement includes a goal statement, services to be provided, method of delivery, funding source (e.g., Title XX, WIN, other) and fee to be charged, in addition to client identification.

Income maintenance records are kept at the local level.

The larger, metropolitan counties have computerized records systems but most rural counties have retained manual record keeping. The State DPW has recently developed a limited computerized information system, but no individual client data is available at the State level.

Data Aggregation: Information is initially collected and often aggregated at the county level. Information such as social service records is available to the State but not routinely aggregated or forwarded. Counties routinely provide summary fiscal statements necessary for reimbursement and other legally required information such as SSRR.

1-5 STATUTES

The Minnesota Child Care Facilities Act provides funds for certain child care activities in the State. Those facilities or organizational bodies accepting grants-in-aid are obligated to meet the specific requirements of the Act. The Act also established the Minnesota Child Care Advisory Council, and through the Act, some funds may be provided for local advisory committees which are being established.

Other statutes governing child care operation include: State Fire Code; State Building Code; Department of Health requirements. Uniform Fire and Building Codes were adopted in 1975 and 1971, respectively. Some localities also have zoning requirements which must be adhered to.

Minnesota's Human Service Agency has been studying various regulatory functions among State agencies and is expected to submit a proposal suggesting methods for coordination of these separately administered requirements.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

The following problems/strengths were identified during discussions with State and county agency personnel. It should be noted that these statements, as are the majority of the other information presented in this summary report, are self reports provided by the individuals interviewed. They are not the product of an evaluation or are they judgments made by Unco, Inc. or the regional office.

- FIDCR - Further interpretation of the Federal standards and expectations of the States regarding enforcement are needed. Required staff/child ratios are raising costs and promoting segregated child care facilities. A Child Care and Development Advisory Council Task Force on staff/child ratios has conducted research within the State and prepared a report documenting the Minnesota position. This report was the basis for a State request for a waiver, consistent with the waiver held prior to Title XX implementation.

  State licensing standards meet or exceed FIDCR in most cases, and are strictly enforced; therefore, except for staff/child ratios applying to centers serving fewer than five Federally funded children, Minnesota does not dispute the Federal standards.

- Limited Funding - Minnesota is currently spending at the allocated Title XX ceiling. Few counties have implemented the sliding fee schedule. Day care for children is a mandatory service only for AFDC recipients. Other eligible service categories are implemented at the county's option. A demonstration project on sliding fee scales is currently being funded with Child Care Facilities Act money in Olmsted county.

- Priority of day care - Many counties have not seen day care as an important service in the past. However, this is changing and recognition of day care as a preventive service has resulted in increased use of half-day programs for children with special needs. A small pilot project regarding prevention of abuse is currently being conducted in Hennepin county.

- Staffing - The State merit system has limited the total number of administrative social service staff. Day care has historically had somewhat low priority within the limited allocation.

- Advisory committees - Both the Minnesota Child Care and Development Advisory Committee (MCCDAC) and the evolving local advisory committees were seen by staff as a definite strength in Minnesota. These groups provide valuable community linkages and input for child care planning and development.

- Purchase of service - Counties are having problems with slot utilization, reimbursement rate establishment, and general contracting procedures related to poor center accounting systems.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

A comprehensive statewide needs assessment was not completed for FY 76 planning. Counties are responsible for completing their own.

2-2 PROCESS

Counties have used a variety of strategies in assessing needs for planning in the past; however, few of these were described as comprehensive or systematic. Evolving local child care advisory committees will be delegated some responsibility by county agencies for needs assessment and planning for child care services. The primary function of the committee is to advise the county (or multi-group counties) on the availability and need for day care services, on policies and plans regarding delivery of day care services and on the development of day care resources. The State has expressed the desire to provide guidelines to local agencies and committees regarding possible methodologies for needs assessment but the form and timing of this assistance remains to be defined.

Hennepin County has already started to make plans for a more comprehensive assessment of needs as the basis for more uniform and equitable allocation of resources. This is being done by a combination of county agency planning staff and a purchase arrangement with the Greater Minneapolis Day Care Association (both the local advisory committee and 4-C group). Results will include an index of unmet need for each of the county's eight planning areas. The index will be compared to the number of slots being purchased in the area to ascertain relative proportion of unmet need per area. The expected outcome is that some areas will be overbuilt, and others will be underbuilt. Resource allocation and facilitative effort can be adjusted accordingly.

The Olmsted County DPW contracts with the local 4-C group for a variety of services, including needs assessment and planning assistance. This was completed primarily through group meetings with service providers and consumers, and review of information and referral records.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION AND LEVEL OF EFFORT

On-going Planning: County agencies have been responsible for submitting annual social service plans to State DPW for the past four years. These plans are reviewed by Social Service Division staff members according to delegated service responsibility (e.g., Day Care Unit reviews day care plan).

Title XX Planning: The organization and responsibility for first year Title XX planning were essentially the same as the planning system in use prior to Title XX, i.e., local plans are reviewed and aggregated at the State Social Service Division.

County agencies (or multi-county groups) have the responsibility to develop planning and coordinative mechanisms with all child care/child development resources in the county. One of these linkages is a local child care advisory committee consisting of parent users, providers, trainers in child development/early childhood education, and community or civic group representatives. These committees may assume planning duties, although final responsibility rests with the county agency.

Staffing: Amount of staff time expended for planning is not available due to de-centralization.

3-2 PLANNING PROCESS

Each county in Minnesota must submit a social service plan to the State DPW annually. Prior to FY 77, the recommended format for the day care services portion of the plan included the following general areas: 1) authority, 2) purpose, 3) plan for delivery, 4) impact of effort, and 5) obstacles and corrections.

During the four years that Minnesota has required social service planning (three years State requirement, plus first year Title XX) enough experience was gained in local planning to develop comprehensive county social service plan guidelines. These guidelines will be used to provide a standard format for development of county plans beginning with FY 77. Title XX requirements have been incorporated into the new guidelines. The guidelines focus on the social service agency's responsibility to either provide directly or purchase social services following general department principles (e.g., community based deliveries, regionalization, human service integration, community planning). The intent of the guidelines is to assist the counties in:

- identifying optional as well as mandated services
- establishing priorities
- planning an inter-agency or regional service delivery

- increasing involvement of community
- identifying trends in needs, costs, and funding
- establishing baseline for monitoring
- increase capability to move toward PPBS
- identifying and utilizing alternative funding sources
- identifying technical assistance needs
- compiling data for Title XX plan

The Division of Social Services is responsible for both Title XX and Title IV-B planning. The WIN single organizational unit is also located within the Division of Social Services.

3-3 RESULTS

The first Title XX program year is 12 months. Figures from the Plan include WIN and other child day care and are not limited to Title XX.

Areas of Quantification	Defined	Quantified	Types and Numbers	Comparison
Total Number to be served	yes	yes	31,095 children	less
Population Categories to be served	yes	yes	AFDC (21,639); SSI (173); 0-60% (6,345); 60-115% (285); WIN (2,830); Other (633)	same
Priority Population Categories	yes	yes	Mandatory - AFDC Priority - SSI/MSA 0-50% Optional - 60-115% all other	--
Service provider types	no	no	--	--
Special provider attributes	no	no	--	--
Geographic Areas	yes	yes	Numbers in each eligibility category specified by county according to county plans	same
Dollars allocated for child care service	yes	yes	$9,886,549	less

Planned Organizational Changes: None on a State basis resulting from the planning process.

3-4 UTILIZATION/IMPLEMENTATION:

For the most part, services are only being provided to mandatory eligibility categories. Many counties have not yet chosen to provide day care services to priority and optional categories, or to implement the sliding fee schedule.

4. EVALUATION

No child day care evaluations have been conducted.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING INFORMATION AND REFERRAL SERVICES

Provisions of information and referral (I&R) is a county agency responsibility. Counties may opt to provide the service directly or purchase from another group. The State agency provides ancillary information regarding licensed day care centers, if requests are made.

5-2 PROCESS

Assembling Information

Provider Type	Systematized		Freq. of Updates	Information Compiled			
	State	County		Ages	Hrs.	Rates	Avail.
Centers	no*	varies	usually monthly	x	x	x	x
Homes	no	varies	usually monthly	x	x	x	x
In-Home							

*The State does not make referrals, but does provide information on group day care on a systematized basis, updated monthly.

A statewide description cannot be made because procedures vary from county to county. One county day care service unit uses a card file system which includes all relevant information for day care resources. There is a caseaide who provides information and referral. Day care home providers are asked to send in preprinted post cards notifying the local agency of any changes in status, in placement or termination. The Purchase of Service unit keeps information on available slots in centers in addition to the Day Care Services unit, but does not have responsibility for providing I&R.

Another county visited purchases information and referral service from the local 4-C (Olmsted County).

Disseminating Information: Information is primarily disseminated by phone requests or casework referrals. Different types of outreach are used in various counties.

Assessing Client Need/Referral and Follow-Up: Client need is established according to individual county guidelines at the local level as service applications are reviewed. The final selection of arrangements is determined by the parents, after caseworkers have offered at least three choices (when possible) of varying types of arrangements. Licensure of homes or contracting with centers may be initiated in response to parent choice of that particular provider. Follow-up consists of a postcard inquiry sent to the provider to ascertain whether the client arrived at the center. In addition, in Hennepin county, client satisfaction is assessed for a random sample of approximately one-third of the licensed family day care homes by contacting users of the facilities regarding satisfaction.

5-3 RESULTS

The following figures are for a one month period (11-75) in one county (Hennepin):

Of 415 requests for information/referral the following breakdowns are available:

Age of child	Number of requests
1-11 months	101
1-2 years	101
2-2-1/2 years	16
3-4 years	74
5 and over	123
	415
Family day care homes	388
Day care center	27
	415

During the above month there were 3,301 licensed slots and 1,124 vacancies in family day care homes. In group family day care there were 323 licensed slots and 52 vacancies.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

The State DPW determines eligibility requirements for services according to State law or Federal regulation. Within these guidelines, counties have the flexibility to determine their own requirements based on service needs in the area and budget constraints. Individual client eligibility is established at the county level .

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC
- AFDC-WIN
- SSI-MSA
- Income Eligibles

Services are available free to those persons with AFDC or MSA/SSI status and those with up to 60% of the State median income ($8,947 for a family of four). A monthly fee for all services received is charged on a sliding scale basis for persons whose income is between 60% and 115% of the State median income (up to $17,148) for a family of four.

Population priority categories are as follows:

Mandatory:	AFDC
Priority:	SSI-MSA 0-60% median income
Optional:	60-115% median income
	All other

Revisions since the Passage of Title XX: Sliding fee schedule for income eligibles.

Materials to Ensure Uniform Interpretations: Standardized application forms, determination forms, and procedural guidelines are available. However, counties have considerable discretion in adopting their own requirements for priority and optional services, and for actual assessment of individual need for day care services.

6-3 PROCESS AND VOLUME

Applications: Standardized application and service plan forms are available statewide. These forms are available from the provider or the county agency.

Information is not available regarding the number of applications for all social services or specifically for child care. Staff required to process applications is also not available on a statewide basis.

Eligibility Determination and Verification: Potentially eligible clients may complete appropriate application forms at contracted provider facilities or at the county agency. Eligibility is determined by county welfare departments. Forms are reviewed by county service eligibility technicians. Public assistance status is checked first. If the client has an active file (AFDC, SSI, MSA), eligibility may be immediately established if day care services are necessary for self-support, or other needs are determined. If the client is not an active public assistance case, other criteria must be met depending on the eligible population categories chosen by the county for services. In each case, for Title XX services income must be verified by county eligibility technicians through pay stubs or directly from the employer. If check stubs are not available, the client is requested to complete a release of information form, so that income may be verified by the employer.

The time lapse between point of application and determination of eligibility varies from county to county. In Hennepin county service may be started immediately if the vendor has made preliminary eligibility determination. The county will pay for up to 30 days before actual determination if the client is found to be eligible. However, the vendor must assume the responsibility. The county will not pay if the client is determined ineligible. The process must be completed within 30 days. A letter regarding the client's eligibility is sent to the client and the vendor.

Eligibility for non-Title XX day care varies. Some counties have established a special needs category for day care. Children in this category are paid for with county funds.

Quality Control: Clients are required to report changes in income, etc., which might affect eligibility. Vendors are also expected to assume a considerable amount of responsibility in providing services only to eligible clients. It is suggested that providers have an additional system of their own for maintaining client eligibility.

Redetermination of Eligibility: Title XX eligibility is redetermined every six months. All application forms are completed with the same process as for original establishment of eligibility. The county department sends notices to vendors 30 days prior to the 6-month re-determination date.

Appeals: Information is compiled on the number of appeals statewide by Income Maintenance and Social Service Programs. Information is not compiled on the specific type of service involved in the appeal.

6-4 PARENT FEES

Fees are charged to eligible persons whose income is between 60% and 115% of the State median income. A fee for all services is charged on a monthly basis according to an established sliding fee schedule. The minimum fee per month is $10.00. For a family of four the fee can vary from $10.00 to $145.00 per month regardless of the number of services received.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Licensing Division within the Bureau of Community Services has responsibility for development and enforcement of licensing standards. There are four units within the Division: residential licensing and non-residential licensing, family systems licensing, and information. The non-residential licensing unit has responsibility for licensing day care centers, and day activity centers. The family systems unit has responsibility for supervising county welfare department functions related to family and group day care home licensure.

Certification that centers meet FIDCR standards is the responsibility of the Licensing Division. Family day care homes have not been certified because of a waiver Minnesota held from the SRS Regional Commissioner. No changes have been made in this policy due to pending legislation.

Staffing: There is one State level supervisor for non-residential licensing. Twelve staff consultants provide licensing services statewide for day care centers and day activity centers. Responsibilities are separated on a regional basis. There is one State level supervisor for family day care home licensure. County personnel do actual licensing studies. The total number of FTE staff statewide is unknown. All licensing consultants have the authority to have a license issued if a program meets the standards. Approval must come from the licensing supervisor when denials or revocations are indicated. Such decisions would involve a notification to the Commissioner, and the supervisor would review the action with the attorneys.

There is no longer a minimum degree requirement for State licensing consultants. Applicants must complete written and oral examinations, or qualify by an experience and training rating based on points for education, training, experience, etc. Family day care licensing staff must meet the requirements set forth by the Minnesota merit system..

7-2 STANDARDS

Standards Development Process: A Day Care Standards Advisory Committee was appointed by the Director of Social Services in 1971. (Licensing was a part of Social Services at that time.) The committee was designed to reflect a broad spectrum of interests. Existing child care standards for day care centers and group and family day care homes were based on the work of this committee, and adopted in 1973. The standards have the full force and effect of the law as provided in Minnesota Statutes 257.101-257.123.

Contents of Standards

Staff:Child Ratios

Ages	Ratios	
Centers		
6 weeks - 15 months	1:4	No more than 8 in an activity group
16-30 months	1:7	No more than 14 in an activity group
31 months-5 years	1:10	No more than 20 in an activity group
6-12 years	1:15	No more than 30 in an activity group Volunteers may be counted
Group Day Care Homes (6-10 children)		
Infancy-12 years	1:5	No more than 5 children under school age, including provider's children under school age No more than 3 toddlers under 2-1/2 or 2 infants under 15 months
Family Day Care Homes (up to 6 children)		
Infancy-12 years	1:5	No more than 5 children under school age, including provider's children under school age No more than 3 toddlers under 2-1/2 or 2 infants under 15 months

Additional Components of Standards:

Standards for day care centers include the following areas:

- Physical facility
- Program
- Health, nutrition, and safety
- Admissions
- Staff qualifications (training/ratios) group sizes
- Organization and administration
- Equipment lists/health summary/food guide

Group and family day care home standards include:

- Staff qualifications and training
- Health
- Physical environment
- Nutrition
- Daily activities
- Records

Comparison of Standards with FIDCR:

State licensing personnel have identified seven areas in which additional information is collected during the licensing process, if the provider wishes to be certified as meeting FIDCR. These include:

- Regular dental checkups
- Social services
- Counseling to families regarding day care
- Referrals to community resources
- Coordination and cooperation with organization offering resources
- Policies and procedures
- Policy advisory committee (if 40 or more eligible children are receiving day care services)
- Staff/child ratios

The certification process for centers has paralleled the licensing process. The same staff and procedures are used. Facilities requesting certification must meet requirements in the areas outlined above in addition to licensing requirements. With the above exceptions, Minnesota standards meet or exceed FIDCR.

Persons interviewed at both State and local levels suggested that providers were generally willing to meet Federal standards except for staff/child ratios. Enforcement of 1968 staff/child ratios "has resulted in loss of desirable day care resources, increased cost, and segregation of children." (Title XX revised ratios have not yet been enforced.) "Counties usually purchase 100% of the slots in a facility which meets the staffing requirement because persons in the private market cannot afford to pay the additional costs resulting from the Federally required ratios."

7-3 SUMMARY OF LICENSING ACTIVITIES

Provider Type	Sanction Required	Providers				Renewal Freq.	
		Total #	# Sanctioned		% Disq.	Planned	Actual
			Lic.	Cert.			
Public Centers	License/ Certification	4	100%	100%	less than 5%[c]	annual	annual
Private Centers	License/ Certification	768	100%[b]	37%		annual	annual
Group Day Care Homes	License	190	unknown		10%	annual	annual
Family Day Care Homes	License	Approx. 4,000	unknown		–	annual	annual
Relative DCH's	None required	–	–		–	–	–
In-Home	None [a]	–	–		–	–	–

[a] Voluntary standards being developed

[b] Exception is approximately 85 Montessori and Missouri Synod programs considered to be exempt because they are primarily "educational". A new policy has been developed regarding these centers: The Commissioner of Education may issue an exemption to them for all but the health and safety components of the State license.

[c] This figure is an estimate, of those who actually start process and have been pre-screened.

Fees for Licenses: Fees from $5-75 are charged for day care centers licensure, based on the size of the program. No fees are charged for family or group day care homes.

Content of License: State licenses for all providers include:

- Date of Issue
- Capacity
- Hours of operation
- Person/organization to whom license issued
- Location

Any changes on the face of the license must receive prior approval from the department. Licenses are not transferable.

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study for centers involves the following areas of investigation:

- Physical characteristics of structure
- Provider characteristics
- Food service
- Health and safety needs of children
- Transportation
- Insurance
- Budget
- Equipment/supplies
- Program plan
- Policies/procedures

Group and family day care home license investigation includes the first four areas above.

Extent and Nature of Process: All known providers must be licensed, but there is general agreement that only a small percentage of family day care homes are licensed. Outreach attempts through 4-C groups, etc., have been used to make family day care providers aware of licensing requirements.

Following a request for day care center licensure, a packet of information is mailed to a potential operator. If the person/organization is still interested after having read the material, a State licensing consultant visits the facility, describes the inspection procedure for health and fire safety, and provides information on licensing and certification, etc. With the help of the licensing consultant, it has been the responsibility of the potential licensee to meet appropriate health and fire inspections and complete necessary forms prior to the final inspection and review by the DPW licensing consultant.

The time period for licensure is unknown because of the compounded problems of fire and health inspections, construction, etc. The licensing consultant works with the center operator throughout the period.

The procedure for renewal is the same as for original licensure. In addition, for the interim each consultant must visit a minimum of 15% of his/her caseload on a drop-in basis during the year to monitor compliance with standards.

The family day care licensing process varies from county to county. The most usual process in populous counties begins with a telephone request for information from the potential provider. Information packets are sent following requests. A licensing worker is assigned to all respondents returning applications, and the respondent is requested to come to a group licensing meeting in which procedures and requirements are described. The licensing worker makes 2-3 visits to the home during the process, which usually lasts 2-3 months. When the worker is satisfied that requirements have been met, a recommendation for licensure is sent to the State agency. Due to backlog at the State office, the county often issues a certificate that the home has meet requirements and that the license has been requested.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Responsibility for monitoring at the State level is shared between the Licensing Division and the Social Service Division. The Licensing Division monitors State standards for all day care centers and Federal standards for those receiving Federal financial participation. The four-person Monitoring and Evaluation unit of the Social Service Division is responsible for sample contract monitoring and also monitors county welfare department functions such as record keeping. Steps are currently being taken to re-design the department's monitoring and evaluation approach.

Purchase of service contracts monitoring is more specifically the responsibility of county welfare departments. Each has its own organization and system for monitoring purchase of service contracts.

County agencies are also responsible for any monitoring of family day care home standards.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	State DPW Licensing Consultants	15%			annually	3-4 hours
Private Centers	State Monitors			10%	annually	varies
	County DPW			min. %	annually	varies
Group Day Care Homes	County DPW Day Care Unit Staff	varies by worker			varies	varies
Family Day Care Homes						
In-Home	none					

8-3 PROCESS

The monitoring effort within the State Social Service Division consists of review of a 10% random sample across all contracted services. A list of all centers is maintained together with the centers reviewed and the results.

Day care center standards monitoring includes a 15% sample of each State licensing consultant's caseload. Each consultant must review a minimum 15% of centers on a drop-in basis, in addition to scheduled licensing renewal visits. Consultants are encouraged to monitor more than 15% when caseloads permit.

County level purchase of service monitoring is varied from county to county, but a minimum percentage of contracts must be monitored based on the classification of the county.

8-4 RESULTS

Results of both standards and contract monitoring are maintained by the State. Usually fewer than 10% are out of compliance in any area.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: Training and technical assistance is provided at the State level in a variety of ways. The Staff Development unit has responsibility for arranging training or technical assistance for State staff. There is a budget allocation for 4% of State employees' time to be spent in training. This is primarily on an individual basis. Many units also provide their own in-service training.

The Department of Social Services and Field Services provide training and technical assistance as necessary to county welfare departments. Child Care Facilities Act funds have also been appropriated for training projects and consultants. Most training or technical assistance for providers is planned and implemented at the local level, although Licensing Division staff provides consultative services (TA) as requested by center operators for their respective caseloads.

Local: The county DPW provides most training for providers, especially family day care home providers. This is usually the responsibility of the Day Care Services unit.

Staff background: Varies

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State Licensing Consultants	Variety of resource specialists	In-service training, primarily in programmatic areas	1/2 day/ month
County Licensing Workers	State Social Service Div. and Licensing Div.	Training workshops regarding new licensing requirements and local child care advisory committee	4-1 day workshops
	State Social Service Div.	Special assistance for family day care services	as needed

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Center and Home Providers	State Social Service Div. and Licensing Div.	Workshops regarding standards	1 day
Center Operators	State Licensing Div.	Consultation/technical assistance as needed	as needed
Family Day Care Operators	County Welfare Departments	Group training sessions, newsletters and individual assistance	as needed

In addition to the training and technical assistance listed, a number of training projects and consultants have been funded out of CCFA funds and State contracts, e.g. migrant providers, family day care training project, etc. This includes programmatic training services such as field management, early childhood education courses and workshops, and child abuse identification training.

9-3 PROCESS

Identification of need for training or technical assistance occurs on an informal basis as questions are received, through information obtained during licensing studies, when requests are made, or when changes in policy or procedure occur, or through county plans.

In Minnesota, training and technical assistance for State staff has taken the form of individual staff development and in-service staff training.

Identified training needs for State staff include:

- Regional guidance regarding child care services and management, including record keeping expectations, and Title XX requirements
- Information on child growth and development from resource specialist
- Consideration of "What is quality child care?"

Providers have been assisted on an individual basis during site visits and follow-up contacts, during pre-licensing training/ information sessions for family day care operators, and by regular contact through newsletters. The State office has recently provided training sessions on standards.

9-4 RESULT

Recent training workshops for local level licensing staff jointly sponsored by the State Licensing Division and Social Service Division had excellent response. The purpose of the workshop was to provide information on new licensing standards and also on the emerging local child care advisory committees.

Free training workshops have been offered on a quarterly basis for family day care operators in some counties. Participation in six hours of training for FDCH providers is a State requirement for licensure. These workshops have been well attended and have included such topics as "Day Care as a Business," "Child Development," and "Nutrition."

Training is often purchased through local 4-C groups.

9-5 TRAINING AND TECHNICAL ASSISTANCE MATERIALS

These include:

- Licensing manual policies and procedures (draft)
- Family day care information packets (Hennepin county)
- Workshop materials for local advisory committees
- Family Day Care Training Project Resources and Resource Materials

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The State Department of Public Welfare has centralized all fiscal activities aside from auditing, in the Fiscal Control Office. This office has four main sections: 1) Budgets, 2) Accounting, 3) Pre-audit, 4) Social Service Reporting. There are approximately 40 staff members in the Fiscal Control Office. Only a small portion of staff time is expended specifically for day care. The other financial section of the State DPW involved with day care is the Audits Section, located in the Support Services Office.

Local - Each county office has its own budget process and accounting section. Some counties also have separate purchase of service units. Size and organization of fiscal management staff and activities vary considerably depending on county classification.

Function: Due to the county administered system in Minnesota, most decision-making and resource allocation is handled at the county level. County boards determine available match and appropriate any additional county funds to be used for day care as part of the regular budget process. Financial activities performed by the county agencies include budget recommendations, accounting and auditing, contract negotiation for purchase of service, and claims processing (monitoring claims, voucher examination, verification, and preparation of checks). Once the county has received vendor bills, an abstract of payments is prepared and forwarded to the Pre-audit section at the State office.

State Pre-audit is responsible for checking accuracy and forwarding abstracts to the accounting section. The accounting section distributes funds to counties bi-monthly and prepares reports required for Federal financial participation. The main financial activities at the State level are monitoring county performance and forwarding money to counties.

As conversion to program budgeting is completed, there will be more interface between fiscal and program personnel in the State.

10-2 FISCAL MATERIALS

Counties have developed their own fiscal materials, usually consisting of overall policy and procedures manuals, and purchase of service and vendor manuals. Some counties have also attempted to provide vendors with material related to simple bookkeeping and accounting procedures.

The State agency has a fiscal policy manual, has provided model POS contracts, and sample SSRR reports. Staff from the Pre-audit section have recently (January) given workshops to aid counties in techniques for completing the Title XX reporting requirements.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	Not available for child care services for FY 75	$7,992,533
WIN		819,659
CWS		-
Unmatched State Funds		-
Other		1,074,357
TOTAL		$9,886,549

Matching funds are provided by counties from tax monies and donations.

Total amount of unmatched county funds expended for day care is unknown.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Purchase of Service Contracted Facilities	Expenditures by method of service provision are not aggregated at the State level.	
Vendor-Paid Facilities		
Direct Provision/ Operation	-	-
Client Purchase with Social Service Reimbursement	-	-
TOTAL		9,886,549

Description of Funding Methods/Processes:

A. Purchase of Services

All purchase of service contracts are managed by county agencies, with the exception of migrant day care which is a State, level contract. The State Division of Social Services provides supervision of the process. Counties may purchase day care services directly from centers, homes or in-home providers, or subcontract with other organizations. Some counties opt to purchase only center care because of the contract requirement.

Depending upon county size, there may be a separate purchase of service unit responsible for the entire contract negotiation, management, and monitoring process. The State has provided detailed written model contracts for centers and homes for counties to use. Some counties have developed their own. Agreements with in-home providers include only minimal information such as name, rate, etc. Counties establish their own rates during the contract negotiation process, or through rate review committees. There are no established State maximums. Quality control procedures vary from county to county.

B. Direct Provision: None

C. Client Purchase: No client purchase except for WIN or income maintenance funds, which are primarily with in-home and family day care home providers.

In Hennepin County, a 3.5% sample of the AFDC caseload taken the week of May 26, 1975 indicated that 17.5% of the cases included a child care expense (61% of those with earned income). The total amount allowed for child care through both income disregard and additional payment from this sample was projected to be approximately $192,000/month, or $2,303,000/year for the county. The average child care per case with child care was $73.00/month.

10-5 RATE ESTABLISHMENT

Unit of Measurement: Units of measure differ by county. Both part and full day rates for centers are used. Full day is usually defined as more than 6 hours. Family day care rates are set on a per day or per week basis. Full-time is 7-10 hours/day.

RATE ESTABLSIHMENT (Cont'd)

Provider Type	RATES		
	Basis	Average	Range
Public Centers	Actual cost (no maximums established)	not available	Olmsted Co. $5-8.30/day Hennepin Co. $5.10-12.94/day
Private Centers			
Family Day Care Homes	Rate Review Committee	not available	Olmsted Co. $5/day Hennepin Co. $27.50/week
Group Day Care Home			
In-Home	Rate Review Committee	not available	Olmsted Co. $5.00day 4.00 second child Hennepin Co. not available

Counties determine rates on an individual basis; thus rates and method of determination vary considerably within the State. In Hennepin and Olmsted counties, day care center rates are determined in the contract negotiation process. Family day care home rates are set by a Rate Review Committee within the county departments, and usually decrease on a capita basis with more than one child from a family.

In most instances care is purchased on a slot basis (full child day; more than six hours care). Payments are made for actual cost. Maximums have not been established.

Rates vary considerably between those centers which are certified (meet FIDCR) and those which are not. For example, in Hennepin county, the range for pre-school care which meets Federal standards is $6.10-10.44 per day, with a weighted average of $9.31. For pre-school care which does not meet standards and falls within the waiver for fewer than five contracted slots, the range is $5.00-8.92, with a weighted average of $6.30. The cost differential is approximately $3.00/day in Hennepin county for pre-school care, and considerably higher (about $6.00 difference) for infant care. In Olmsted county, the range for certified centers is $7.00-8.30/day, and $5.00-5.50/day for uncertified centers. Certification is currently defined as meeting 1968 FIDCR. New staff/child ratios have not been implemented.

10-6 IN-HOME CARE

In-home care is purchased in some counties, but is primarily used by clients receiving income maintenance funds (or income disregard) for child care, or WIN day care. There are no State standards at this time, although they are being developed.

10-7 INCOME ELIGIBLES AND PARENT FEES

Provision has been made to charge monthly fees for services provided to clients, whose income is above 60% of the State median income and up to 115% of the median. The fee charged cannot exceed the actual cost of service provided. When such services are available, fees are collected by county welfare departments. Reasonable effort to collect fees is evidenced by the client being billed three times at no greater than monthly intervals.

10-8 DONATIONS

Donations may be used for local match, although some counties no longer use this mechanism because of previous difficulties encountered. Information on donations made directly to county welfare departments is not available at this time.

A $20,000 Ober Foundation grant was used as match money for a migrant day care project administered by the State.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: In addition to Mississippi being characterized as state administered, interviews conducted at the state level and in Hinds county thoroughly supported this characterization.

Description of Administrative Structure:

State Level: The Department of Public Welfare is the designated state service agency. The department consists of six operational divisions, (Food Assistance, Social Services, Management Coordination, Personnel, Accounting and Finance, and Training). In addition, it is composed of one main administrative support division, (Quality Control).

The Division of Social Services of the Department of Public Welfare is the organizational unit at the state office level which supervises the provision of all day care services to children.

Management responsibilities within the Division of Social Service in relationship to child day care are: needs assessment, program planning, eligibility, monitoring, (which is combined with evaluation), and licensing of Family Day Care Homes, where there are 5 or less children. This license is not mandatory, unless a family day care home wants to be eligible to serve WIN children.

Fiscal management comes out of the operational division of Accounting and Finance within the Department of Public Welfare. Its functions are non-programmatic and are limited to providing program people with financial statistics, reviewing proposed program expenditures, and developing cost estimates of new or revised services.

The operational division of Training out of the Department of Public Welfare is responsible for Training and Technical Assistance. However, it was indicated at the state level, that it was an entirely new function as of January, 1976, and that at present no Training and Technical Assistance is given to providers of child day care.

It was indicated at the state and local level, Hinds county , there is no formal vehicle for Information and Referral services in Mississippi.

The Mississippi State Board of Health is responsible for licensing child day care centers and family day care homes, (where there are 6 or more children for 4 or more hours a day).

Local Level: Mississippi is broken into 5 regions which encompass 82 counties. Each county Welfare department is a unit of the State Department of Public Welfare. These county offices are responsible for direct service delivery.

Interviews at the local site, (Hinds county), indicated that the only management responsibility coming out of the county Department of Public Welfare is Eligibility Determination.

Licensing of centers and family day care homes, (with 6 or more children) is handled by the state and county Department of the State Board of Health.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	Allocation of Funds	
	FY 74-75	FY 75-76
Total Social Services Allocation	17,227,345	* 12,605,097
Total Child Care Allocation	2,709,952	* 5,984,674
Percentage of Total Social Services Funds Allocated to Child Care	15.7%	47.4%

* The figures indicated above were taken from the Title XX plan; however, respondents indicated that the budget projection for FY 75-76 to be 14,081,993 for total social services and 4,554,185 for child care.

The total statewide proportion of social service staff time allocated to child care was not available; however, the number of full-time equivalents involved in the provision of child day care services at the state level is approximately 13-1/2 FTE's.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Providers	Number FFP Children	Expenditures	
			FY 74-75	FY 75-76
Public Centers	556	1,052	1,833,385	3,304,261
Private Centers		529	874,437	1,159,923
Family Day Care Homes	319	30	2,130	being phased out, no match money
In-home Care	unknown	207	6,158	90,000.00
TOTAL	875	1,818	2,716,110	4,554,185

1-4 NATURE OF RECORDS

RECORDS

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	Family	local
Standardized social service forms	yes	Family and Individual	local
Computerized records	yes	Individual	state
Income maintenance records	yes	Family	local

Extent of Data: Computerized information is maintained on the individual users of social services. All other records are maintained on the family as users of social services. Standardized social service forms are maintained on the family and individual. The computerized records contain all information except that pertaining to the quantity of service provided, information pertaining to cost of care, family income, and employment status of parents, (unless parent is primary client). The other records contain a variety of information on the user.

Data Aggregation: Data is collected at the local level and transmitted to the state computerized information system. At the time the state interviews were held, the computer was not operational, but was expected to be so within a month. The computerized information system is expected to provide information necessary for completion of the new Social Service Reporting Requirement.

1-5 STATUTES

None.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Some problems identified at the state level:

a) That available funds in meeting the needs for child care are scarce. There is no state money available for child care and local communities must come up with matching funds. As a result not enough child care services are available. In addition, it is hard to find a convenient location for a center in rural areas. Finally, the cost of child care is sometimes prohibitive in relationship to a family's income.

b) Insufficient number of staff to provide training and to be trained.

Some strengths indicated at the state level:

a) They have high day care standards, which help improve the overall quality of child day care.

b) They purchase care for 12 months, instead of six months; so that a center is open year round.

c) They encourage contractors to submit proposals to purchase of service unit program staff.

Local respondents in Hinds county indicated that transportation of children to and from child day care facilities is a problem, because many clients don't have cars and other vehicles are not available.

A couple of strengths cited at the local level were that: There is good rapport with the public, because the public is aware that the Department of Public Welfare will give them assistance. In addition, the staff at the county level is committed to provide good quality service.

One additional weakness noted at the county level was that many counties don't have a county supervisor, to help the social worker in choosing a good plan for the child.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Performed by: State personnel from the Division of Social Services, out of the Department of Public Welfare.

Level of Effort: Primary responsibility for the needs assessment study was with the Director of Social Services and an Administrator from the Division of Social Services. In addition, there were 12 regional supervisors from Social Services (state level personnel) who worked under the supervision of the Director and Administrator. It was estimated during the period the needs assessment study was conducted, April 1975 - July 1st, 75 , that there were approximately 2 full-time equivalents involved out of the 14 people involved.

2-2 PROCESS

The needs assessment study was limited, due to time constraints and staff availability. It was inclusive of all social services, with no special study pertaining to child care.

It was indicated that on an overall basis, the needs assessment study was basically an opinion servey due to time contraints.

The Department of Public Welfare/Division of Social Services sent out a questionnaire informing the citizens of what services were available, in order to find out what services were needed the most. Out of the 1,000 questionnaires sent, feedback was received on 30% of them. In addition, local public hearings were held, that were advertised in the radio, T.V., and newspaper.

However the major problem cited at the state level regarding the needs assessment was the fact that by the time the state got the mandate to conduct a needs assessment study, their budget was already fixed for the following year.

PROCESS

Sources of Information	Extent Utilized	Strategy
Documentary Sources	0	--
In-house Agency Personnel	Utilized to some extent	Basically conducted an opinion survey and public hearings
Community Agencies	Limited	
Service Providers	Limited	
Consumers	Limited	
General Public	Limited	

2-3 RESULTS/UTILIZATION

No specific numerical results were generated as a result of the needs assessment study.

Degree of Integration into Planning Process: It was indicated at the state level that the needs assessment study had very little impact, if any at all, on the development of the plan. This was due to the fact that the state already had a set budget at the time the study was conducted and couldn't divert funds from one program to another.

It was hoped that the following year more money, staff, and time would be available to conduct a more extensive and accurate needs assessment.

A few strengths cited by state level respondents in reference to the needs assessment study were:

a) That given the time alloted, they were able to conduct a needs assessment at all.

b) It was a good learning exercise for the staff.

c) People (consumers and clients) were made more aware of existing services available, (services are not always advertised).

An additional state level response regarding planning was that it is very frustrating both to public and state social service staff to have a needs assessment study conducted with no real vehicle to implement the findings.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: There is no department or division at the state level with on-going responsibility for child care planning. The Director of Social Services and a social service administrator do planning as needed.

Title XX Planning: An administrator from the Division of Social Services has primary planning responsibility for XX planning. Approximately 30 people, (representative of state, regional, and county staff) that were related to various policy areas assisted him. It was estimated that there were 3 full-time equivalents from those 30. Planning was done from April '75 - October '75.

3-2 RESULTS

Areas for Quantification	De-fined	Quanti-fied	Types and Numbers	Compa-rison
Total number to be served	no	no	--	--
Population Categories to be served	yes	no	ADC, SSI, low income (80% median income)	same
Priority Population Categories	yes	no	ADC/Non-WIN	same
Service Provider Types	no	no	--	--
Special Provider Attributes (e.g., hours of service)	no	no	--	--
Geographic Areas	no	no	--	--
Dollars Allocated for Child Care Service	yes	yes	5,984,674	more

Planned Organizational Changes: No organizational change was proposed.

Utilization and Implementation: In effect no major changes were derived from the planning process; therefore no implementation process.

Identified Strengths and Weaknesses - Comments

a) It was felt that the planning process would have been more realistic if it could have been done prior to the state's own budget.

b) A committment is desired from Congress or HEW to help with funding if the planning and needs assessment process proves to be more than a state can handle.

c) It is difficult to quantify number of people and money by county; might only be one person in a county needing services. So far, Mississippi has been unable to make that kind of determination.

d) Title XX doesn't really allow adequate social service planning because of the stiff eligibility requirements.

e) It was felt that XX mandates were a strength, in that states had to hold more to reality in terms of actual service delivery.

f) Another strength cited was that XX mandates have helped streamline Mississippi's reporting and documentation system.

4. EVALUATION

There has been no comprehensive, in depth evaluation of the child day care delivery system in Mississippi.

5. INFORMATION AND REFERRAL

It was indicated at the state level that there is no formal vehicle for information and referral services at the state or local levels. It was further cited that there was no central location for information within any county and that with the exception of a social worker, clients generally have to depend on their own ability to secure information with regard to child day care services.

The above information was supported by the Hinds county interview.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Both the establishment of eligibility regulations and the development of standardized application forms are the responsibility of the Department of Public Welfare, Division of Social Services. The securing of application and the actual determination of eligibility are carried out by the social service worker at the county Department of Public Welfare. A fee schedule has been developed by the Division of Social Services.

6-2 POLICY PROVISIONS

Eligible Population Catagories:

- Recipients of ADC, WIN and Non-WIN
- Recipients of SSI benefits or state supplementary payments
- Persons whose needs are considered in determining the needs of ADC
- Income eligibles, defined as 80% of median income ($10,830 income for a family of four)

Revisions Since the Passage of Title XX: Revisions were made to bring Mississippi in line with Title XX regulations.

Materials to Ensure Uniform Interpretation: A concise guide has been developed and distributed by the Division of Social Services

6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed at the state Department of Public Welfare, Division of Social Services are used throughout the state.

Applications are completed and secured at the county level by social service workers.

The total number of applications received is unknown since there is no statewide compilation of this information. No estimate could be given.

Eligibility Determination and Verification: For clients in the ADC, SSI, or Medicaid catagory, the information is verified by the county social service worker who checks all pertinent records. For income eligibles, the required monthly gross income form is checked by the county social worker for verification. Eligibility determination can be immediate if a client has an ADC number or medicaid number.

The time lapse between application and determination of eligibility is approximately 2 weeks, unless verification of status is immediate.

The total number of applicants found ineligible, statewide, is unknown. Local respondents in Hinds county indicated that approximately 30% of all applicants were found ineligible in the past year.

Quality Control: Clients are responsible for reporting changes in earnings or status that might affect their eligibility. In addition, at some point during the year, the social service field supervisor reviews all cases.

Re-Determination of Eligibility: Eligibility is re-determined every six months using the same format as in the initial eligibility interview. When clients are found ineligible, they are given 10 days to file for appeal. If no appeal is filed within that 10 day period services are discontinued.

Appeals: When a client is found to be ineligible, he/she is informed of the appeal procedure. There have been no appeals filed in the past year.

6-4 PARENT FEES

A fee schedule has been developed by Department of Public Welfare/ Social Services and is implemented and interpreted by the county social service worker who assigns the appropriate fee to the client. The fee schedule only applies to clients who are not in the Income Maintenance and Income Eligible categories (under 80%), because clients in those two categories are eligible for free child care services.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The Mississippi State Board of Health is responsible for developing licensing standards for public and private centers and family day care homes, where there are 6 or more children for 4 or more hours a day. The license issued by the State Board of Health covers health, safety, sanitation, and the physical layout of child care facilities only.

Supplementary to the license issued by the Board of Health, the Department of Public Welfare/Social Services issues a certificate of approval to centers that covers FIDCR compliance, nutrition, education, and program components.

In addition to this, the Department of Public Welfare has the authority to issue a non-mandatory license to family day care homes if there are 5 or less children. If, however a family day care home wants to qualify for WIN, even though they have less than 6 children, it is mandatory to obtain a license from the Department of Public Welfare. It was noted at the state level that: Generally speaking those family day care homes that actually request a license probably want to be eligible to serve WIN children.

Staffing: Persons responsible for performing licensing studies from the Department of Public Health are surveyors at the state level and sanitarians at the county level. Both employees are state personnel. There are 3 full-time surveyors who spend 100% of their time licensing child care facilities. There are approximately 72 county sanitarians who spend approximately 10% of their time licensing child care facilities.

Persons responsible for performing licensing studies from the Department of Public Welfare are evaluation specialists. It was indicated that there are 4 full-time evaluation specialists who spend approximately 50-60% of their time licensing and certifying child care facilities.

Qualifications of Licensing Workers: Educational requirements for Board of Health surveyor are; a B.S. plus 1 year experience in health related field, some background in education and administration, and 1 year experience as a county sanitarian.

The educational requirement for a county sanitarian is a B.S. in science (usually in environmental sciences).

The educational requirements for the Department of Public Welfares' evaluation specialists are; a B.S. in social work or agency experience, (approximately 2 years under a Human Resources agency) and 2 weeks of training inner departmental training.

7-2 SUMMARY OF LICENSING ACTIVITIES

Service Type	License/Appr. Required	Providers			Renewal Freq.	
		Total #	% Lic.	% Disq.	Planned	Actual
Public Centers	License approval	556	100%	unknown	yearly	yearly
Private Centers	License approval		100%	unknown	yearly	yearly
Group Day Care Homes	none	(homes serving 6 or more children are considered FDCH's)				
Family Day Care Homes	License (6 or more)	319	100%	unknown	yearly	yearly
In-home	no					

Fees for Licenses: The Board of Health charges a $10.00 fee for a license. The Department of Public Welfare does not charge a fee.

Content of License: The license for both centers and family day care homes includes:

- Date of issuance
- period for which valid (and/or experation date)
- maximum number of children to be served
- age range of children
- catagory of license and limitations

7-3 STANDARDS

The State Board of Health utilized the following process in formulating, establishing and revising its licensing standards: Participants from the State Board of Health, State Department of Education, health and fire officials studied the licensing standards of states in Region IV, (Florida, Georgia, Alabama, Tennessee, Kentuky, and North and South Carolina). From their study they reached a median of standards and formulated Mississippi licensing standards from that. The last revision of these standards took place in 1972.

The Department of Pulbic Welfare utilized the following process in formulating, establishing, and revising their licensing and approval standards: Proposed standards were drafted by a sub-committee of the State Advisory Committee on Day Care Services. Representatives from the Pre-school Association, State Medical Association, Home Economics Association, Governor's Council on Youth, Department of Public Welfare, Department of Child Development and the Department of Pediatrics from the University of Mississippi, were on this committee. The draft was reviewed and revised by the total committee and approved in 1965. When FIDCR came along, they combined their state standards with FIDCR. It was cited that Mississippi has been using FIDCR standards since 1971. The most recent revision of the Department of Public Welfare licensing standards for family day care homes was in 1970 and for centers in 1975.

Comparison of Licensing Standards with FIDCR: Mississippi has no standards which exceed FIDCR's. Mississippi's staff/child ratio coincides with FIDCR in all age groups up to age 6.

Centers:		
	Ages	Ratios
	0-6 weeks	1:1
	6 weeks - 36 months	1:4
	3 year olds	1:5
	4-5 year olds	1:7
	6-10 year olds	1:15
	10-14 year olds	1:20
Family Day Care Homes:		
	Infancy - 14 years	1:5 or 1:6

At the state level it was indicated that the adult/child ratio is sometimes difficult to meet, but that they (Miss.) meet it. Some providers have to limit the amount of children they care for in order to meet FIDCR requirements. In addition, the requirements have added to cost of service.

It was further indicated that none of the FIDCR components are directly provided by Department of Public Welfare.

Other comments regarding FIDCR were that:

- FIDCR is one of the federal regulations that has no penalty for non-compliance
- Mississippi Department of Public Welfare agrees with FIDCR's standards and enforces them
- The Mississippi State Board of Health has made a request for waiver in staff/child ratios, due to the minimum wage law, with no response at the time Mississippi interviews were held.

The dominant problems in meeting licensing requirements are:

For Family Day Care Homes:

- Footage space
- adequate heating
- toilet facilities
- fire codes
- arrangement of home
  (kitchen relationship to bathroom and
  room where children are kept)

For Child Care Centers:

- Immunizations
- safety door and outer door (has to open outward) (width of door)
- heating
- play area requirements

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study for FDCH includes:

- Physical characteristics of the home
- provider characteristics (age, health, etc.)
- provisions for educational program (materials and training)
- provisions for nutritional component
- verification that children have had medical clearances
- provisions for handling sick children, accidents, etc.

A licensing study for centers includes:

- Physical characteristics of the facility
- staff characteristics (age, health, training)
- educational component
- nutritional component
- health component
- specific verification that children have had medical clearances

Extent and Nature of Process: There is a structured format for licensing of all facilities. Homes are made aware that a license is required by: word of mouth, attempting to advertise, routine surveillance, and State Board of Health and Department of Public Welfare staff.

For homes, it normally requires 2 or more visits by Department of Public Welfare and 4 or 5 visits by the Board of Health. For centers it takes approximately 4-5 visits by the Board of Health to complete a licensing study.

There is approximately a 30 day lapse between the initial licensing study and the issuance of a license.

The factors that generally delay/impede issuance of a license are:

- Processing time
- up to date immunization records

All providers in the catagories indicated have undergone an initial licensing study.

Follow-up: A regular follow-up procedure is conducted between issuance of a license and prior to the renewal date by the state or county. The same format is used at the state and local level.

Follow-up consists of:

- Quarterly inspections of a center or home by a surveyor or sanitarian from the Board of Health
- Quarterly visits by evaluation specialists from the Department of Public Welfare

A local respondent from the Hinds county Department of Health indicated that follow-up consisted of 2 routine inspections a year prior to renewal.

Conditional/Provisional Licenses: At the state level, it was indicated that provisional licenses were only issued for up-to-date immunization records and heating. In Hinds county respondent indicated that they only issue provisional licenses for imminization records and that all physical requirements must be met initially.

The state level Board of Health indicated that in 1974/75 approximately 9-10% of all licenses issued were provisional.

It was further indicated that a provisional license is good for 3 months, and that approximately 80-85% of all providers fulfilled all provisional licensing conditions in the past year. Lastly, it was cited that up to 4 consecutive provisional licenses can be issued.

Revocations: There is no state agency that has responsibility for enforcement of licensing standards or authority to revoke a license. Presently the only recourse available is; to deny renewal of a license, withdraw funds if a facility is under Purchase of Service, and issue a penalizing fine.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Purchase of Services Program Unit in the Division of Social Services of the state Department of Public Welfare conducts monitoring of purchase of services centers only. Monitoring areas covered are; program administration, program implementation; compliance with FIDCR, other federal regulations, state laws or codes, and state administrative regulations.

All monitoring activities are done at the state level by state personnel. The job titles of persons directly engaged in child care monitoring activities are; evaluation specialists and program development specialists.

8-2 MONITORING ACTIVITIES

Provider Type	By whom monitored	Percent Monitored	Frequency	Av. Time per unit
Public Centers Private Centers	57 Purchase of Service Program Unit out of Division of Social Services of Department of Public Welfare	100%	two times a year	12-15 hrs.

Both Evaluation and Monitoring are under the heading called Monitoring. The following was noted by state level respondents:

- Evaluation and Monitoring are done at the same time
- Their evaluation is a result of monitoring and is the final page of their monitoring report
- On site monitoring visits are conducted twice a year
- Monitoring visits are also scheduled in response to urgent problems brought to the agency's attention

8-3 PROCESS

A formal instrument (The Monitoring Report) was developed and used by purchase of service program staff.

The basic strategy used in monitoring of child day care centers are scheduled site visits. Some monitoring visits are done in response to problems brought to the agency's attention.

8-4 RESULTS

It was indicated by respondents from the purchase of service program staff that none of their providers are out of compliance with state and federal regulations. It was further indicated that no areas are hard to comply with. This is because purchase of service does not deal with contractors who don't have the matching funds to meet the compliance regulations.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

The operational division of Training out of the Department of Public Welfare is responsible for training and technical assistance. However, it was indicated at the state level that it was an entirely new function as of January, 1976, and that at present no training and technical assistance is given to providers of child day care.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State: The fiscal functions are performed by: Office of Accounting, and Finances', Purchase of Service Unit, out of the Department of Public Welfare.

Local: There is no unit responsible for fiscal management at the local level. All local fiscal information is forwarded to the state fiscal unit for processing.

Function: Its functions are non-programmatic and are limited to providing program people with financial statistics, reviewing proposed program exprenditures, and developing cost estimates of new or revised services.

There is a POS manager who recommends and approves all budget and policies under Purchase of Service, and then the Director of Accounting and Finance authorizes final approval.

10-2 FISCAL MATERIALS

A complete package of fiscal materials has been developed and is used regularly. They were developed by the Purchase of Service staff, Legal Services, and Social Services, all coming out of the Department of Public Welfare. All materials with the exception of federal regulations were rated excellent, because the materials do the job properly and serve their intended purpose. Federal regulations were rated as being good.

10-3 INCOME SOURCES

Source	FY 74-75	FY 75-76
Title XX/IV-A	$2,709,952.	$5,984,674.
WIN	6,157.50	90,000.00
CWS	--	--
Other	--	--
TOTAL	$2,716,110.	$6,074,624.

10-4 DISTRIBUTION OF EXPENDITURES

Distribution of Expenditures, by Method of Service Provision

Method	FY 74-75 Expenditures
Purchase of Service (contracted) for Child Care	$2,709,952.99
Vendor Payments	6,157.50
Direct Provision/Operation	none
Client Purchase, with social service funds	none
Client Purchase, with income maintenance funds	none
TOTAL	$2,716,110.49

10-5 DESCRIPTION OF FUNDING METHODS/PROCESSES

Provider Type	Contracts		Expenditures
	Written?	Comprehensiveness	
Centers	yes	Covers everything	2,709,952.99
In-home Care	yes	Covers everything	6,157.50
Other			

A. Purchase of Services:

Services are purchased from non-profit public and private centers. In 1974/75 services were purchased from Family Day Care Homes. However, they are currently being phased out of purchase of services because there are no matching funds.

Contract management responsibilities are performed by POS Program Unit from Division of Social Services and POS Accounting and Finance Division.

There are written purchase of service contracts for child care centers and in-home caretakers paid by vendor payments.

No large scale sub-contracting is done.

B. Direct Operations: None

C. Client Purchase: None

10-6 RATE ESTABLISHMENT

Unit of Measurement: Per child day, 4 hours or more.

Provider Type	Rates			
	Basis	Average		Range
Centers	Title XX guidelines	$139.00 month per child	Low $150-175	High mentally ret. $193.00 $165.00 normal child
Family Day Care Homes	No current purchase of family day care	--	--	--
In-home	State Welfare Board WIN Handbook State Manual	$4.50 per day caretaker relative	$3/day 1 child	$4-5/day 3 or more children

In-home Care with Relatives: WIN funds are the only federal funds used for in-home care. Relative must live in-home, when in-home care is used.

Income Eligibles and Parent Fees: Person earning less than 80% of the median income are eligible for free services. Those persons whose income is between 80%-115% of the states median income must participate in payment of a fee adjusted to family size. The total received in parent fees for October-November, 1975 was $2,374.00.

Donations: Funds received from donations in fiscal year '74/'75 totalled $784,464.20. These funds were received from public, private, county, city, state, and federal sources.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State-administered.

Description of Administrative Structure: The Department of Social Services (DSS) is the designated state services agency. The DSS is comprised of six program divisions and five supportive service divisions.

The Division of Family Services (DFS) is empowered to administer most of the state's social services including Title XX child day care services. The DFS includes three branches - Income Maintenance, Medical Services, and Social Services. The latter is directly involved in the child day care program by virtue of its responsibility for supervising and coordinating division field services throughout the state. Within the Social Services branch is the Child Care Program Unit. It is specifically responsible for day-to-day management of the state's day care program. In addition, the Missouri Day Care Advisory Committee has had major input into the development of day care services largely through legislative lobbying, standards development and child care needs assessment activities.

Fiscal management is the responsibility of the DFS Finance Coordinator's Office, which provides a fiscal support capability to all DFS social service personnel. Another office, the Director of Finance, serves as the administrative and fiscal support body for the DSS Director's Office. It has no direct interaction with or authority over the DFS Finance Coordinator's Office. Program people set budget allocations within limits defined by the state legislature; the DFS fiscal unit prepares final budget requests and monitors expenditures during program operation. Its major activities consist of making voucher payments and generating payrolls. In effect, the section functions as a support and advisory unit to program staff.

A separate DFS Licensing Section allocates specialized personnel to licensing day care centers and group homes. It is responsible for licensing day care facilities only. (Family day care homes are licensed by separate caseworkers at the local level.)

The local program is normally administered by a two-unit county Family Services Office. One arm, the Income Maintenance Unit, is responsible for determining eligibility of ADC applicants,

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Missouri's site visit was conducted in November, 1975. Interviews were held with eleven different officials at the state office and five staff members at the local office in Boone County.

while the other, the Social Services Unit, is responsible for determining eligibility for services along with developing appropriate service plans with Title XX and IV-B clients. A Family Services Director is generally in charge of the county office. In very rural counties, responsibility for administering local day care service programs is delegated to an adjoing county or the district office.

1-2 RESOURCES ALLOCATED TO CHILD CARE

	Expenditures FY 74-75	Allocations FY 75-76
(Titles IV-A/XX) Total Social Services Funds	$35,300,000	$63,400,000
(Titles IV-A/XX) Total Child Care Funds	$ 6,851,035	$10,324,976
Percentage of Total Social Services Funds Allocated to Child Care	19%	16%

The total indicated for child care funds for FY'76 includes day care counseling, day care for handicapped children and administrative costs.

State resources allocated to child care, in addition to Title XX funds, include monies from WIN for a total of $8,071,833 in FY'75 and $12,427,381 in FY'76.

The total number of FTE's involved in child day care activities at the state and regional levels is 27 FTE's.

The proportion of total social service staff time allocated to child day care at the state and regional levels is approximately 7.3%.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Total Number Providers	Number FFP children	Expenditures FY '75	Anticipated Expenditures FY '76
Public & Private Centers	345	4,034	$5,486,542	No breakdown by provider type is available
Group Day Care Homes	125	615	151,855	
Family Day Care Homes	1,174	4,451	approx. $1,683,866	
In-home care	439	3,251	$ 749,570	
TOTAL	2,083	12,361 [*1]	$8,071,833	$12,427,381

[*1] Totals include both WIN and non-WIN figures.

There are no state-supported infant centers, nor is there any infant care in group day care homes. All providers serve a combination of FFP-eligibles and non-eligibles. In-home and out-of home relative care can be purchased for children of WIN participants only.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	Yes	Family	Local Level
Standardized social service forms	Yes	Individual	State Level
Computerized records	Yes	A Mixture of Family & Individual.	State Level

Extent of Data: All data but information on the duration of services, family income, educational attainment and family size and composition are maintained in the state computer. Narrative social service forms also provide extensive data. Only information on the demographic descriptors of ethnicity, sex, living arrangements, employment status, parental educational attainment and family composition is missing.

Data Aggregation: The counties collect data which is then forwarded to the state, where it is computerized monthly. Aside from a monthly purchase of service report indicating the number of clients served and dollars expended, reports generated by this system have been sporadic. Nevertheless, state staff anticipate no problems in completing Title XX social service reporting requirements and expected the first report under that system to have been produced by December 1975.

1-5 STATUTES

The only statutes that impact on the operation of child day care in Missouri are local zoning ordinances, state and local health codes, and local fire department regulations.

1-6 IDENTIFIED PROBLEMS/STRENGTHS/HIGHLIGHTS

State staff stressed the lack of adequate funds and the difficulties in meeting FIDCR requirements as the most pressing problems impacting the delivery of day care services. They felt that centers which seemed particularly unable to meet FIDCR requirements would soon begin to refuse FFP children. Unlike their state counterparts, officials at the local site highlighted adequate funding as their program's chief strength. The absence of licensed infant centers and the lack of infant care in group day care homes, despite expressed consumer need for it, was highlighted as a serious problem by both state and local officials. Local respondents also cited the lack of direct communication between providers, clients and themselves as a complicating factor in program administration.

The emerging goals - reporting system and the procedural plan for the program's payment system (currently hampered by an inability to obtain adequate computer time) were seen as programmatic strengths at the state level.

One of the unusual features of Missouri's program is a dual payment system for procuring services. Contract (or purchase of service) and vendor payments operate as two distinct payment systems, each with its own limitations. The rationale for the dual system derives from a corresponding duality in program funding sources. Monies appropriated for the state's matching share may be used only to provide services for employable ADC recipients. These services are procured by vendor payments formalized by an abbreviated written contract.[*1] On the other hand, local donated funds from public and private sources may be used for all eligible clients; however, the method of service procurement must be purchase of service using a detailed, formalized contract.

Reimbursement for nearly all family day care homes and in-home providers and a majority of group day care home providers occurs by means of vendor payments. 16% (55 out of 345) of the licensed centers operate under a purchase of service arrangement.

As a result, the dual payment system produces a differential pattern of client placement; ADC clients tend to utilize family and group day care homes and in-home care, while the majority of the other client groups are predominantly serviced by centers.

WIN funds are treated as a separate appropriation not subject to these conditions.

[*1] In compliance with Title XX regulations, the state plans to develop more formalized written contracts by March 31, 1976.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state's Division of Family Services' Policy and Program Specialist was chiefly responsible for the preparation of a limited Title XX needs assessment. He was assisted by an ad hoc group including the Assistant Deputy Director of Family Services, on-loan personnel from other agencies (i.e., St. Louis County Welfare Department), two graduate students, and several other on-loan staff from within the department.

No child care needs assessments had been undertaken by the state prior to the Title XX effort.

However, in Boone County, the local site, a child care needs assessment was conducted prior to Title XX. In late 1974, the Boone County Community Service Council conducted a countywide needs assessment for all social services based upon door-to-door surveys and a poll of local service agencies. While the Community Service Council's activities were not systematically integrated with those of the state, the resulting study was eventually used as a partial basis for the state's Title XX effort.

Staffing: The overall state needs assessment effort required approximately 4-5 person-months over a 10-month period of time. No figure for the level of effort in Boone County is available.

2-2 PROCESS

Scope: The state study covered all social services, including both client needs (FFP eligibles only) and services availability. The Boone County study covered all social services but included a special child care study of Columbia, Missouri which covered both client needs and services availability.

SOURCES OF INFORMATION	EXTENT UTILIZED	STRATEGY
Documentary Sources	Extensively Utilized.	DSS social services reporting system used heavily plus Mo. update of 1970 census; also some local child care needs assessments.
Agency Personnel	Utilized to Some Extent	State staff from DSS
Community Agencies	Utilized to Some Extent	State Dept. of Health; local community and private agencies (United Fund) from all over state.
Service Providers	Utilized to Some Extent	Selected providers contacted by mail; several others submitted unsolicited information.
Consumers	Utilized to Some Extent	A small number came forth at public meetings held statewide.
General Public	Extensively Utilized	Statewide public meetings (42 in 2 weeks); 14,000 notices sent out. 1500 people participated in articulating their priority social service needs (i.e., child care ranked 2nd on a list of 56.).

2-3 RESULTS/UTILIZATION

Specific Numerical Results Were Generated in Relation to:

- client type
- geographic area
- service objective

Degree of Integration Into the Planning Process: Findings from the needs assessment were utilized in developing the plan. For instance, income eligibles were defined by information generated by the needs assessment and included in the plan on the basis of priorities and available funds. Geographic determinations of need were reflected in local dollar allocations. The assessment also spotlighted the need for child care among special groups such as children of alcoholic, drug addicted, mentally disturbed and physically disabled parents. These population categories were all included in the plan as service groups.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: Social service planning was performed by two groups prior to Title XX. One, the Governor's Office of Planning and Analysis, is a planning unit mostly conducting planning analyses for budgetary allocations. The other, the DSS Planning and Research Division, is essentially an ad hoc group responsible for social services planning as well as other tasks. The latter was of modest importance, having only one staff member permanently assigned.

Title XX Planning: Neither of these groups were directly involved in Title XX planning. Instead the Division of Family Services, Program Development Section, assumed the responsibility for Title XX planning.

3-2 PLANNING PROCESS

Compared to prior social services planning, the Title XX effort was more complex and substantive. Previous efforts had actually been budgetary exercises; Title XX was one of the state's first formalized social planning efforts. The interface of Title XX and IV A with WIN and IV B was done to break out expenditures and to coordinate the phasing of WIN and non-WIN recipients with the beginning of Title XX programming. Some 2,000 letters and information forms with wide-ranging comments (i.e., wanting service to income eligibles in excess of 80% of the state median, including unmarried parents as a special service category, etc.) were received during the review period. Participants in the planning process felt it was highly systematic and rational; the determinations of population served and services offered, for example, were based largely upon the needs assessment data.

3-3 RESULTS

Areas for Quantification	De-fined	Quan-tified	Types & Numbers	Compar-ison
Total Number to Be Served	Yes	Yes	Defined & quantified by program goal; no cumulative total for day care	More
Population Categories to Be Served	Yes	No	AFDC-WIN/AFDC-non-WIN; parents with disability; income eligibles; Vietnamese children; neglected or abused children	More
Priority Population Categories	Yes	No	1. ADC; Children needing day care as a protective service 2. Income Eligibles	More
Service Provider Types	No	No	--------	----
Special Provider Attributes (e.g., hrs of svc)	No	No	--------	----
Geographic Areas	Yes	Yes	By counties (115)	Same
Dollars Allocated for Service	Yes	No	Totals by goals, not by component area	Unk

Planned Organizational Changes: No organizational changes are contemplated.

3-4 UTILIZATION/IMPLEMENTATION

Contracts are being developed to provide special services to meet the special needs of newly designated service groups (i.e., income eligibles, those children having parents with psychological or physical disabilities, and Vietnamese refugees). The Deputy Director of the Department of Social Services is responsible for developing these new contracts.

4. EVALUATION

No statewide child day care evaluations have been conducted

However, in FY '75, the DFS in cooperation with the state Evaluation Supervisor and District Social Service Supervisors in 3 counties, conducted an evaluation review of each county's social service program in the areas of administration, staff capability, direct services and community development. Based on the experience gained from the three test counties, Missouri expects to evaluate the social service programs in several other counties during FY '76. That effort will be expanded to include the evaluation of specific social service component areas.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING INFORMATION AND REFERRAL SERVICES

No statewide I&R program exists. However, information and referral covering all social services including child care is provided by each local County Family Services Office. This service is supplemented by information and referral services provided by SAU-WIN staff, income maintenance workers, Title XX volunteers, social service workers and voluntary agencies. The latter two constitute the primary personnel providing information and referral to child care facilities.

5-2 PROCESS

Assembling Information: The responsibility for assembling information on centers and homes lies with the district or county day care services worker; local WIN workers assemble information on in-home care.

Provider Type	Systematized?	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Cost	Avail.
Centers	yes	as needed - can be daily	yes	yes	no	yes
Homes	yes	as needed - can be daily	yes	yes	no	yes
In-home	yes	as needed - can be daily	yes	yes	no	yes

Disseminating Information: Clients receive child care information by phoning in to various personnel at the local Family Services Office, by direct contact with income maintenance, social service or day care licensing workers and through word of mouth. No outreach activities are undertaken.

Assessing Client Need/Referral and Follow-up: Social service workers and their supervisors assess the need for child care. The most critical factor in making the assessment is whether the applicant is an ADC or non-ADC client. Under Missouri's dual payment system, ADC clients are generally placed in homes or in-home care while non-ADC clients are generally matched with centers. Other factors are the child's age, family composition, personality and developmental level, home of care, provider location, cost of care and availability of space.

Client-worker contact varies by client type; ADC and WIN clients are usually assisted by two workers (income maintenance and social service workers). Sometimes a third worker, a licensing representative, participates if the client selects an unlicensed provider who wishes to be licensed. Income eligibles deal only with social service workers.

After the worker provides the parent with a list of appropriate providers, the parent is encouraged to meet the provider and make a choice after the worker has notified the provider by phone. Subsequent to placement, the worker calls the parent to make sure that services were obtained. One month after this, the worker makes a new assessment to ascertain if the client's needs are being met. If the client provider match-up is satisfactory, a regular follow-up is conducted every three months.

5-3 RESULTS (Based upon a three-month time period)

No aggregate statewide data is available. The following figures pertain to the local site at Boone County:

Number clients seeking child care referral:	160
Number actively assisted	60
Number securing their own services	60
Number unable to secure services	40

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are established at the state level by the Division of Family Services. Social service workers at the local office are responsible for determining eligibility, although the state does final certification of eligibility. Plans are currently underway to have the DFS develop an eligibility determination capability among providers as well. Local service workers are responsible for securing completed application forms.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC-non-WIN
- Income Eligibles (up to 80% of the state median income) This is equivalent to $888/month for a family of four.
- Title IV B clients who meet income eligibility standards and for whom child day care constitutes a protective service.
- Vietnam refugees are eligible under new federal guidelines.

Additional qualifying conditions must be met in addition to membership in an eligible population category. To be eligible for child care services an applicant must also meet one of the following conditions; the parent must:

1) be ready for employment;
2) be in a training program;
3) have a disability; or
4) be unable to care for the child because of mental incapacity.

In short, these policies direct services to clients who are attempting to achieve self-support or who are incapable of assuming a full parental role.

Revisions since the Passage of Title XX: Title IV-B clients, for whom day care constituted a protective service and who previously were not subject to qualifying income levels, must now meet income eligibility criteria. Also, the income eligible category was added.

Materials to Ensure Uniform Interpretations: A social service manual containing state guidelines is made available to all front-line eligibility workers.

6-3 PROCESS AND VOLUME

Applications: Standardized application forms are in use throughout the state and are secured by the county-level social services worker.

The total number of applications received for child care is unknown at the state level because no systematic aggregation of this information has as yet been instituted.

However, figures for Boone County reveal that 3 FTE's processed approximately 200 applications for child day care services in FY '75. Local respondents, because of high staff turnover, found this to be inadequate manpower. Child care applications comprised 50% of all social service applications for that year in Boone County.

Eligibility Determination and Verification: The responsibility for eligibility determination lies with the local social service worker. ADC client status is verified through a standard procedure requiring a cross-check of income maintenance records. Documentation of income eligible status is done from tax returns, wage stubs or cancelled checks verifying the potential client's salary.

The time lapse between application completion and determination of eligibility varies under the dual payments structure. For clients receiving purchased services, the interim between completion of the application procedure and the determination of eligibility is approximately 30 days. Then and only then can the client begin to receive services. For clients receiving services through vendor payments, the time lapse is, at most, one week. They may receive services from the date of application with payment made retroactively if the client is found eligible.

Quality Control: It is essentially the client's responsibility to notify the worker of any relevant changes in status. However, a local supervisorial review of client forms and invoices is done at regular intervals (depending on the county). An audit is also built in at the state level with deviant forms being "kicked out" by the computer. However, Boone County personnel indicated that they had no official quality control procedures. At the state level, there is a random check of clients declared ineligible; the state learns of ineligibles only through provider or client notice. Other than relying on the clients' supplying information on status changes or notification of client turnover from the income maintenance section, the state takes no other steps to check eligibility between the initial determination and subsequent re-determination.

Redetermination of Eligibility: Eligibility is now to be redetermined every six months; prior to Title XX it was performed annually. The process entails the re-evaluation of the year's original documentation and a review of the service plan. Where ineligibility is discovered, all clients are personally notified by phone and mail that service is terminated pending an appeal.

Appeals: No statistics on the total number of appeals filed in Missouri were available. At the local site no appeals were recorded during FY '75.

6-4 PARENT FEES

No fees are charged. Persons with incomes in excess of 80% of the state median must assume the total cost of their own child care. Services are provided without charge to those whose incomes fall below the 80% level.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The DFS Day Care Licensing Unit is responsible for day care licensing and standards enforcement. Responsibilities are split between two groups of personnel - family day care workers who license family day care homes; and licensing reps who are responsible for centers and group homes. Both groups function as state employees located in separate units of county or regional Family Service Offices.

Initial licensure is also subject to local inspection by health, fire, and zoning department. In addition, the State Fire Marshall, at the request of the DFS, inspects all centers undergoing their initial review.

In-home care is not licensed; instead, WIN workers issue a letter of approval based largely on state licensing standards.

Staffing: The state employs at least 52 full time employees to license child care facilities. Thirty-one are family day care workers; 21 are licensing reps. Service workers (primarily in rural counties) with responsibility for other casework also spend some time in family day care licensing (no estimate of their time allotment is available). Both types of licensing personnel have authority to recommend license denial or facilities closure, but the final authority rests with the county prosecuting attorney's office. A B.A. along with a background in early childhood development is preferred but not required for licensing reps. No special background is required for family day care workers. On-the-job training is extensive with licensing reps receiving direct training from the regional supervisors in procedures, child development, the use of community resources, program content and administration. Family day care workers generally attend statewide job orientation seminars on licensing concepts and procedures, and regularly visit on-site child development labs.

7-2 STANDARDS

Standards Development Process: In 1971 the state licensing staff held statewide meetings on the revision of extant standards. Providers were invited along with parents, public officials, staff (state and county), and community people. Their input was considered when making the 1971 revisions. In a 1975 update, public meetings were again held with similar representation. All recommendations were noted and taped for input. Questionnaires were also mailed to providers and distributed at meetings. The licensing staff prepared a draft which was submitted to the Director of Social Services for eventual filing with the Secretary of State. The State Day Care Advisory Committee sponsored the process and will review the proceedings. The draft will be made available to the public prior to submission to the Secretary of State. In the past, no draft had been made public by the Advisory Committee. No federal regulations were used as guidelines.

Content of Standards:

Centers: Ages	Ratios	
Infants-2yrs.	N/A	No maximum allowable capacity has been set. In a mixed group (ages 2-6) a 1:8 ratio is specified with no more than two 2-yr olds permitted. In a mixed group (ages 2-14) a 1:10 ratio is specified with no more than two 2-yr olds permitted.
2 yrs	1:5	
3-5 yrs	1:10	
6-14 yrs	1:15	
Group Day Care Homes:	A maximum capacity of 15 children with two adults required for eleven children or more. No more than two 2-yr olds permitted, unless 2 adults present.	
Family Day Care Homes:	No more than 6 permitted excluding the parent's own; no more than two children under 2 yrs of age.	

No infant care is available in day care centers or in group day care homes.

Additional Components of Standards:

For centers and homes these include components covering

- Physical facilities
- Safety and sanitation
- Health
- Administration
- Nutrition
- Program content
- Equipment

The following components are required for purchase of service centers only:

- Education
- Social services
- Training

Comparison of Standards with FIDCR: Missouri's staff-child ratios for centers and homes are less stringent than FIDCR's for nearly every age category. The state health and nutrition standards for all providers do not include supervision by a qualified physician, follow-up treatment, or periodic mental assessment of the staff as specified in FIDCR.

While no precise figures were available, state personnel estimated that only a small percentage of providers were willing to comply with FIDCR. On the contrary, Boone County respondents said that some local providers were already in compliance with FIDCR and that only a small percentage were unwilling to meet FIDCR standards. The chief difficulties are in meeting FIDCR staff-child ratios and in instituting the required education and training components in homes. The state requires no additional certification process to ensure that licenses comply with FIDCR. Missouri has not applied for any statewide waiver of FIDCR standards. However, HEW waived the FIDCR standards for staff-child ratios for certain Model Cities Day Care Centers in Kansas City.

7-3 SUMMARY OF LICENSING ACTIVITIES

Provider Type	STDS.	Req. Lic., Cert. or App.	Total # Prov.	% Lic.	% Disqualified	Renewal Freq.	Planned Renewal Freq.
Centers	state	license	345	99%[*3]	unknown: state officials estimate a small percentage	annually	annually
Group day care	state	license	125	unk		annually	annually
Family day care	state	license[*1]	1174[*2]	unk		annually	annually
In-home	state	approval	439	N/A		N/A	N/A
		TOTAL:	2083				

[*1] No license is required if 4 children or less are served. A license is required if 5 or more children are in attendance.

[*2] While this represents the total number of known providers, the actual number licensed is presumed to be considerably less since providers may choose to forego licensure if they serve 4 children or less.

[*3] This percentage relates to all centers required to be licensed. Missouri statute exempts centers operated by churches, school systems, and governmental units.

Fees for Licenses: No fees are charged.

Content of License: The licenses for family day care homes, centers and group day care homes all include:

- date of issue
- period valid and/or expiration date
- maximum number of children to be served
- maximum hours of service in a 24-hr period
- age range of children
- category of license and limitations
- name and address of provider

7-4 LICENSING PROCESS

Areas of Investigation: A typical licensing study generally covers the following:

- facility's physical characteristics
- provider characteristics
- provisions for educational programs
- provisions for the nutritional component
- verification of child medical clearances
- provisions for handling sick or injured children
- fire, safety and sanitation standards
- discipline plans
- record keeping

Extent and Nature of Process: There is a structured format for conducting licensing studies of all regulated facilities. Providers learn that they must be licensed through community education, parent complaints, media dissemination of information, word of mouth, from other providers, from parents and by calling county offices for information. One pre-application meeting and two on-site visits are required to complete a license study for family day care and group day care homes. There is a 6-8 week lapse between study initiation and issuance of a license.

A minimum of three visits is usually required for the worker to complete a licensing study for a new center. The elapsed time between license inquiry and licensure varies from 2-5 months. Delays for all facilities are usually caused by local inspections for fire, building, health, and zoning regulations. Where a license is required, children may not be served until a license is issued. At any time provider may serve up to 4 children without a license. All providers licensed underwent an initial licensing study. Following issuance of a license, the licensing worker makes a visit within 30 days (follow-up visit). Then there are quarterly visits by licensing staff and a re-evaluation study prior to the expiration of the license.

Conditional Licenses: No conditional licenses are issued in Missouri.

Revocations: The licensing worker submits revocation recommendations to the state office and also contacts the provider. If the provider continues to operate after the license is revoked, the county attorney can prosecute. None were revoked in Boone County during the last fiscal year. State officials were not certain whether any revocations had occurred statewide during that same period.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Child care monitoring responsibility is shared among the DFS State Licensing Unit, some local social service workers, and the division's Contract Management Section. Special Licensing Unit staff monitor all centers and some homes for licensing compliance. Local social service workers who do licensing are responsible for the remaining homes. The State Contract Management Section, at the direction of the four Regional Contract Administrators, monitors purchased services for contract compliance exclusively. Both groups monitor all provider types with the exception of in-home care. Aside from fiscal auditing, no monitoring activities are conducted by local staff.

Child care monitoring is the primary responsibility of Licensing Unit Specialists, while Contract Management staff are responsible for multiple social services including child care. State personnel believed staff allocations were sufficient for Licensing Unit monitoring activities but insufficient to meet the Contract Management Section's responsibilities.

8-2 MONITORING ACTIVITIES

Monitoring Purpose by Provider Type	By whom monitored	#/% Monitored	Frequency	Avg. Time per unit
Licensing Compliance • centers	The state DFS Licensing Unit	100%	quarterly	2 hrs.
• homes	Licensing Unit & Social Service Workers	unk	quarterly	1-1/2 hrs.
Contract compliance • centers	The state DFS Contract Management unit	62 (18%)	One visit 30 days after contract implementation; a 2nd visit 3 mos. later; a 3rd visit 5 mos. later.	unknown
• homes		12 (1%)		unknown

Licensing Unit Specialists and local licensing social service workers monitor those providers operating under both purchase of service contracts and informal vendor payment agreements. Contract Management staff monitor only those providers operating under purchase of service contractual agreements. Although the number of providers monitored by the Contract Management Section constitutes a small proportion of all providers, the figures actually represent 100% of facilities operating under purchase of service contracts.

8-3 PROCESS

Areas covered by Licensing Unit monitors include:

- Quality of facilities
- Staff characteristics

- Staff-child ratios
- Staff training component
- Health requirements
- Educational component
- Parent involvement

Areas covered by the Contract Management Section include but are not limited to:

- Individual client service records
- Intake system and procedures
- Communication systems with the state DFS office, subcontractors, DFS Contract Management staff, and other community agencies.
- Documentation system for services delivered, for staff utilization, an in-service training plan, and an internal evaluation system.

Missouri has developed specific policies governing monitoring practices for the Licensing Unit. These cover:

- Types and numbers of providers to be monitored (all)
- Frequency of monitoring (quarterly)
- Content of monitoring
- Form of monitoring

Policies governing monitoring for licensing compliance and actual practices have a high degree of correspondence.

According to state respondents, there are no special policies governing the practices for child day care contract monitoring. They did feel that the Contract Management Section's monitoring frequency should be increased to maximize its effectiveness.

Formal guides are available to both units to assist them in making monitoring observations. The Licensing Unit utilizes a checklist; the Contract Management Section uses an observation guide for monitoring centers and a narrative guide for use in homes. State interviewees stated that reports are prepared by both groups on each individual provider. Officials at the local site indicated that no monitoring reports had been prepared on providers located in their county. Scheduled site visits and surprise site visits are the dominant methods used for the Licensing Unit and the Contract Management Section respectively.

8-4 RESULTS

Both state and local staff reported that no contracted providers were currently out of compliance with contract or licensing standards. A small but indeterminate number of vendor-paid providers were felt to be out of compliance with contract/licensing standards. The cost of acquiring and developing facilities which have adequate light and square footage, plus the cost of hiring competent staff to meet the staff-child ratios were seen as the most troublesome areas of licensing compliance. No problems areas for contract compliance were specified.

Follow-up actions consist of the provider being informed about the specific area(s) of non-compliance with a target date set for achievement. If compliance has not been achieved after a subsequent follow-up visit, the license is withdrawn (by the Licensing Unit) and/or funds withheld (by the Contract Management Section).

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The responsibility for providing training and technical assistance for child day care is distributed among two different groups of administrative personnel -- the Day Care Licensing Unit Supervisors and the Contract Management Section's Child Care Consultant.

It is estimated that in FY '75, a total of 1-1/3 FTE's was allocated for training from both groups. The amount budgeted for training conducted by either group is not available.

A combined allocation of 3/4 FTE was utilized in providing technical assistance in FY '75. No budget estimate for this activity is available.

Local: County social service workers are involved in the provision of training and technical assistance at the local level. Boone County personnel estimate that they allocate one FTE to the provision of child care-related training. No training budget allocations were available. Technical assistance is not broken out as a separate activity.

Staff Background: The background requirements for training and technical assistance personnel vary among the three groups providing services. Contract Management administrators require a basic background in contract development, business administration or law.

Most licensing supervisors providing training and technical assistance are required to have at least an M.A. in social work, education or home economics with some relevant experience in the delivery of social services.

Social service workers are not required to have any special background.

Staff time and monetary allocations are considered adequate only for the social service workers. The Contracts Section felt it could use four more FTE's while the licensing unit has the need for a designated staff training position.

9-2 ACTIVITIES

STAFF DEVELOPMENT

To Whom	By Whom	Content	How Much
State staff	OCD Consultant	Licensing Concepts	unknown
	HEW Regional Office	Fiscal Training	Infrequent
	Day Care Licensing Unit	Development of Education component; assistance on a variety of licensing needs	unknown
Local staff	Contract Management Section	In-service training on program content development	Approx. 40% of the counties, and administrative districts

PROVIDER ASSISTANCE

To Whom	By Whom	Content	How Much
Centers and Homes (statewide)	State Contract Management Section and Day Care Licensing Unit	On-site assistance to help providers meet state licensing requirements Provider training meetings.	62 centers: (100%) 1 day each 12 homes: (100%) 1/2 day each Unknown
Centers and homes (Boone County)	Day Care Licensing Staff in Boone County	Program content development; in-home safety; child nutrition; educational theories in child development. Licensing workshop	36 providers (78%) 1 hour each 100 provider staff members attended 5-hr. workshop.

9-3 PROCESS

The chief ways training and technical assistance needs are identified by all groups are:

- Provider requests
- Problems identified during on-site monitoring
- Problems identified by local service workers

Licensing Unit supervisors believe licensing workers have the greatest training and technical assistance needs. Contract Management personnel and social service workers felt that providers had the greatest need for training and technical assistance.

The prime training and technical assistance content areas for licensing workers were:

- Administrative procedures in licensing
- Program content
- Child development approaches
- Supervisorial skills

The primary areas for providers were felt to be:

- Developing in-service training
- The education and parent involvement components
- Securing adequate facilities
- Conformity to state rules and regulations

Both the Contracts Management Specialist, licensing representatives, and workers are used on-site visits as the major method of training and technical assistance provision. Individual consultation was the most prevalent technique used by the Licensing Unit Supervisors. State respondents indicated that providers are almost always receptive to training and technical assistance. They find local government personnel less receptive because the delivery of training and technical assistance is often regarded as a "territorial invasion."

9-4 RESULTS

Both Contract Management and Licensing Unit personnel felt that their success in meeting identified training and technical assistance needs had been marginal. Only social service workers believed they'd had a highly positive impact.

Each group conducts follow-up activities to determine the effectiveness of their training and technical assistance efforts. The Contract Management Section, during its monitoring activities, evaluates provider progress in meeting contract and/or licensing requirements. Licensing Unit Supervisors, in the course of daily responsibilities, attempt to assess any incremental changes in capability within their own staff or among providers. Boone County social service workers make follow-up visits to providers and monitor their clients for consumer satisfaction.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State: The DFS' Finance Coordinator's Office acts as a centralized fiscal support unit for all social services subsumed within the DFS. There is no separate fiscal unit for child care.

Local: There is no local fiscal unit. Local services personnel merely submit vouchers for payment to the state fiscal office.

Function: While program and fiscal personnel operate within autonomous administrative units, program people are extensively involved in fiscal decision-making. They prepare budget projections based on programmatic criteria. The Finance Coordinator's Office advises and critiques these proposed allocations. Actual budget-setting is done by the Governor and State Legislature.

10-2 FISCAL MATERIALS

All fiscal materials have been developed except for published regulations and audit report forms. Fee schedules are not available since no fees are charged. The majority of fiscal materials were rated excellent with the remainder all rated as good. Most of the forms were developed by the Finance Coordinator's Office.

10-3 INCOME SOURCES (FY '75)

Source	Amount	Percent
Title XX/IV-A	$6,851,035	(85%)
WIN	1,220,798	(15%)
CWS	- 0 -	(0%)
TOTAL	$8,071,833	(100%)

The local matching share is a composite of state and county funds.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service (contracted)	$4,102,965
Vendor Payments	$3,968,868
Direct Provision/Operation	none
Client Purchase, with social service funds	none
TOTAL	$8,071,833

Description of Funding Methods/Processes:

A. Purchase of Service/Vendor Payments: Under Missouri's dual payment system, day care services are procured through both purchase and vendor payment. Each payment method utilizes funds from different sources. Purchased services are funded exclusively by local public and private monies which serve as a 25% match for federal funds. These funds may be used for all eligible clients. State funds and the corresponding federal share are specifically appropriated for vendor-paid care and may be used for ADC clients only.

Nearly all services purchased are from centers. A few homes (approximately twelve in Kansas City) operate under purchase of service contracts. Almost three-fourths of the providers compensated by vendor payment are homes and in-home providers; the remaining providers are centers.

Expenditures by provider type under either payment system are not available.

Limited, informal written agreements are currently used to secure vendor-paid services. However, the state anticipates meeting Title XX contract requirements by April 1, 1976.

Formal, written contracts are used for purchase of service and contain all required components. They are currently used for centers and a few homes.

Some contract management activities take place at the local level where contracts are originally negotiated. However, contracts are ultimately sent to the State Contract Management Section for detailed review and approval. Missouri has undertaken some large scale sub-contracting primarily with large providers in metropolitan areas who have been delegated authority by the umbrella agency. The state DFS is responsible for the performance of all subcontractors.

The quality control procedures utilized by the State Contract Management Section include:

- Spot audits of providers
- Regular provider audits (The state is working towards a 12-month cycle)
- Submission of provider voucher, indicating eligibility and attendance to local DFS office monthly. The local office checks eligibility of clients claimed and then forwards vouchers to the state to be checked for accuracy. Vouchers are matched up with data processing information before payments are made to providers. The state presumes that the eligibility check ensures that submitted invoices are not lost and that duplicates are not being paid.
- Overpayments are adjusted by equivalent reductions of subsequent provider payments. Providers are notified of these conditions when overpayments occur.

B. Direct Provision: None.

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Provider Type	RATES				
	Basis	Average		Range	
		Purchase	Vendor pmt	Purchase	Vendor Pmt.
Centers	Actual costs + formula *1 or rates charged by others up to $5/day max.	$6/day	$4.50/day	$3.60- $8.55/day	$3 - $5/day
Homes	Actual costs + formula *1 or rates charged by others up to maximum	$6/day	$3/day	same as average	$2 - $5/day

*1 The formula used is based on the total budget (actual audited costs) divided by 90% of the license capacity divided by the number of child days in a year (262) resulting in a per child/day reimbursement rate.

Maximum rate permitted: $8.55/day for purchase of service.

10-6 IN-HOME CARE

Only children of WIN participants are eligible for in-home care. Rates have been established for in-home care up to an allowable maximum of $5/day. These are reimbursed exclusively by vendor payment. Relatives are eligible for reimbursement as in-home providers only if they were bona fide providers prior to their relatives' need for child care.

10-7 INCOME ELIGIBLES AND PARENT FEES

There are no provisions to serve clients in excess of 80% of the state's median income. Those within the 80% cut-off point receive free day care; thus, no fees are collected.

10-8 DONATIONS

In FY '75 Missouri received donated funds totalling $420,804.58 from both private agencies (i.e., United Fund) and public groups (i.e., Tri-County Housing Authority, local public school districts, etc.). There continues to be controversy over the proper dollar amount that should revert back to a provider from his own donation.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: While Montana is characterized as "State Supervised--County Administered", it more closely approximates the State Administered model, both structurally and operationally.

Description of Administrative Structure: The Department of Social and Rehabilitation Services (SRS) is the designated state services agency. This department is comprised of six program divisions and a series of centralized services.

Responsibility for all child care program areas is vested in the Community Services Division of the Department of SRS. Two of its three bureaus (the Social Services Bureau and the Youth Development Bureau) are directly involved in child care management. Within the Youth Development Bureau is a 4-C's unit. This unit is funded by a special $100,000 state allocation (and federal matching funds). 4-C's staff are actively involved in child care planning, standards development and training.

Fiscal management is a centralized service and it is administratively separate from the Community Services Division, with responsibility limited to determining the allowability of expenditures (i.e., it is a support unit, responsible for the execution of policies developed by program staff).

Workers in the SRS district offices are responsible for licensing centers and homes throughout the state.

Statewide, there are five regional offices and three additional district offices. These eight multi-county offices, each staffed by a Supervisor III and two resource workers, have primary responsibility for licensing and for coordination of programs at the local level.

Determination of client eligibility is the responsibility of county offices.

The Montana site visit was conducted in November, 1975. Interviews were held with state personnel and in the Billings and Missoula District offices.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$8,188,200	$11,273,334
Total Child Care Funds (Titles IV-A/XX)	736,938	1,641,709
Percentage of Total Social Services Funds Allocated to Child Care	9%	15%

Total child care funds include expenditures for child day care only; adult day care is not a part of the indicated amount.

Resources allocated to child care in addition to Title XX funds for FY '75 include $345,549 in WIN funds and $16,290 in CWS monies for a total of $1,098,777.

The number of FTE involved in child day care including district licensing workers is approximately 18 FTE; the proportion of total social service staff time allocated to child care is not available.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	Not An Identified Provider Type In Montana			
Private Centers	41	1,699	UNK	UNK
Group Day Care Homes	Not An Identified Provider Type in Montana			
Family Day Care Homes	890	3,132	UNK	UNK
In-home Care	Not Used to Serve FFP-Eligibles in Montana			
TOTAL	931	4,831**	$1,098,777	$2,872,991

* Includes all licensed, approved or otherwise sanctioned providers (1975 figures).

** Includes some children who have been multiple counted. The total is for FY '75.

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative Social Service Case Records	yes	Family	Local Level
Standardized Social Service Forms	yes	Family	Local Level
Computerized Records	yes	Family	State Level

Extent of Data: All information pertaining to required Title XX data is computerized. Information on the respective completeness of the narrative and standardized social service records is available on an individual county basis only. State officials pointed out that while narrative and social service records may not be individually complete, together they provide a complete client data log.

Data Aggregation: Aggregation of the data occurs only at the state level, where it is highly accessible through the state's information system. This computerized system generates monthly reports showing the number of children served and the dollars expended, by each county, for child care.

The state information system has been revised to reflect the goal structure and data requirements of Title XX, and no problems remained in completing the Social Service Reporting Requirements.

1-5 STATUTES

State Law 10-800 governs the operation of child care services in Montana. It includes detailed provider standards and establishes a uniform flat rate for providers throughout the state (this rate was recently up-graded from $3 to $4 daily for family day care homes and from $4 to $5 daily for centers).

1-6 IDENTIFIED PROBLEMS/STRENGTHS

Most state personnel feel that the program is seriously deficient in meeting community needs, due to the severe limitations on who may be served (i.e., income eligibles are limited to 150% AFDC--$378/month for a family of four--and fewer than 220 families statewide are expected to meet this requirement).

Secondly, it was pointed out that the very low rate which has been established by the legislature for center reimbursement ($5 daily) makes it extremely difficult to implement the desired staff-pupil ratio. Further, the lack of available start-up funds hampers the development of new center programs. As a consequence, a high percentage of children are being served in family day care homes. In-home care is not utilized at all.

While most children are served in family day care homes, these homes are not systematically monitored. It was felt, however, that the system for monitoring centers has been successful in achieving quality care in these facilities, despite the severe financial limitations.

One problem cited by district personnel was the inadequacy of communication between the state and district offices.

2. NEEDS ASSESSMENT

No comprehensive statewide needs assessment was undertaken, due to time constraints.

In lieu of a needs assessment, internal statistics and all relevant studies and reports (developed by a variety of sources during the past several years) were reviewed by the Title XX Planning Committee.

It is anticipated that the Human Services Project in the Office of the Governor will have gathered much more comprehensive data for use in subsequent planning efforts.

3. PLANNING & IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: There is no department or division at the state level with on-going responsibility for planning.

Title XX Planning: A special Title XX Planning Committee was formed, with representation from all of the Bureaus within the Community Services Divisions of SRS. This committee met for 2 hours per week for a period of four months.

3-2 PLANNING PROCESS

State personnel stated that lack of time and the absence of an on-going planning unit made it difficult to develop an adequate systematic planning process. The child care portion of the Title XX plan was independently developed by the 4-C's coalition and given to the Title XX Planning Committee. There was no interface between Title XX, WIN and Title IV-B planning. District personnel commented strongly on the lack of opportunity for local input into the planning process by district personnel, providers or consumers. There was no real change between pre and post-Title XX planning.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types & Numbers	Comparison With Prev. Yr.
Total # To Be Served	yes	yes	3,974 children	More
Population Categories To Be Served	yes	yes	AFDC WIN and Non-WIN; low-income (150% AFDC)	Same; added
Priority Population Categories	yes	no	AFDC Non-WIN	Same
Service Provider Types	yes	yes	53 Centers with 7 or more children; 778 family day care homes,	UNK
Special Provider Attributes (e.g., hours of service)	no	no	-------------	---
Geographic Areas	yes	yes	Dollars allocated to regions in accordance with prior expenditure	Same
Dollars Allocated for Service	yes	yes	$1,641,709 prorated for 12-mo. fiscal year	123% More

Planned Organizational Changes: None as a result of Title XX Planning. The state hopes to develop a planning unit in the future, but no specific plans have been made as yet.

3-4 UTILIZATION/IMPLEMENTATION

There has been no progress in implementing the increases which have been proposed, due to the timing of the plan in relation to the timing of legislative action. While an increase in child care funds is planned, the budget was submitted to the legislature in September and Title XX was not passed until January so that changes in appropriations could no longer be made.

4. EVALUATION

No child day care evaluations have been conducted.

5. INFORMATION & REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

While I & R services are generally available at both the state and local levels, no specific department or bureau is labelled "Information and Referral". Other than general state and local office staff, SAU-WIN staff members, social service workers, income maintenance workers, and 4-C's staff provide day care information and referral. Social service workers were identified as the dominant personnel providing I & R.

5-2 PROCESS

Assembling Information: Information on homes and centers is assembled by service workers and resource workers in most district offices. Note that state and district offices had differing views on systematization and the frequency of updates.

Provider Types	Systematized		Freq. of Updates		Information Compiled			
	State	Dist.	State	Dist.	Ages	Hrs.	Rate	Avail.
Centers	yes	no	Yrly	Yrly	X	X	X	X
Homes	yes	no	Quar.	Yrly	X	X	X	X
In-home	Not Utilized for FFP Child Care Clients							

Disseminating Information: Word-of-mouth, agency bulletin boards, newspaper articles and radio and TV spots are used to make the community aware of child care services. Because their methods have proved successful, no organized outreach programs are deemed necessary.

Assessing Client Need/Referral and Follow-up: The county level social service workers have primary responsibility for assessing child care needs, based on the child's age, the location of facilities, hours and other factors. Approximately 45 minutes is required to do an assessment. The same worker is involved from first contact through completed placement and this continuity is seen as a source of strength in the worker-client relationship. Parents are involved throughout and are generally encouraged (and even transported) to visit several facilities before making a selection. After placement, scheduled visits are implemented to ensure that both client and provider are satisfied.

5-3 RESULTS

Time Period: 3 Months

Number clients seeking social services referral	UNK
Number clients seeking child care referral	2100
Number actively assisted	1350
Number securing their own services	UNK
Number unable to secure services	UNK

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies are established at the state level by the Department of SRS. Direct implementation, from the securing of applications through the determination of eligibility, is primarily the responsibility of the County-level social worker.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-non-WIN
- AFDC-WIN (parent must be in training program)
- Income Eligibles, defined as 150% AFDC (e.g., $378/month for a family of four). Estimates of the number of families who will qualify in this category range from 90-220, statewide)
- Title IV-B clients (in this instance, child care must be part of protective services and the family must be unable to pay for the care. This service was formerly limited to single parents but is now available to intact families)

AFDC-non-WIN are considered the top priority service population with all others ranked second.

Revisions Since the Passage of Title XX: No significant changes.

Materials to Ensure Uniform Interpretations: Guides have been developed and distributed to all front-line workers.

6-3 PROCESS AND VOLUME

Applications: Standardized forms, developed by the state and covering family information and verification methods, are in use throughout the state.

Applications are generally secured by county-level social workers in the course of personal interviews with the applicants.

The total number of applications received is unknown, since there is no statewide compilation of this information. The proportion of child care applications, compared with applications for all social services, was estimated at 1/3 to 2/3.

Eligibility Determination and Verification: Eligibility is determined by the local social service worker. If the client is a welfare recipient, this fact is verified by checking the AFDC files and the client is determined to be eligible. If the client is employed, a paycheck stub is required to establish that the client meets the 150% AFDC requirement. Frequently, the social worker is immediately able to tell the applicant whether he/she is eligible; if this is not possible, the applicant is contacted -- by phone or mail -- as soon as eligibility is established.

The time lapse between application and completion of the eligibility determination process ranges from "immediately" to less than ten days. The delivery of service does not begin until the client is determined to be eligible.

The total found to be eligible was estimated at 90%.

Quality Control: All clients are required to report any changes in status or earnings, and income eligibles are required to submit check stubs every six months to verify income. Procedures governing quality control are not specifically established, however, and this was an area identified as needing improvement. In one district, the respondent was concerned that workers are required to spend an excessive amount of time securing information on income.

Redetermination of Eligibility: Eligibility is redetermined every six months. Generally, it is at this time that clients who have become ineligible are identified. Should a client be found ineligible, payment for child care service is discontinued.

Appeals: Whenever clients are found ineligible, they are informed of the right to appeal. There were, however, fewer than five appeals filed, statewide, in the past year.

6-4 PARENT FEES

There are no sliding fee scales, since free child care is provided to all eligibles (and eligibility is limited to the very poor). Thus, a client who earns even $1 above the allowable maximum must pay the full cost of child care. This was strongly and repeatedly raised as an issue by state staff since it seriously reduces the client's incentive to earn money and may even serve to encourage a return to welfare status.

7. LICENSING

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state SRS office is responsible for the development of licensing standards, while the district offices have responsibility for the implementation of licensing procedures, including both issuance and enforcement, for all provider types. Licenses are required for centers and family day care homes and are based on direct observation by licensing workers and reports received from health and fire departments.

Staffing: There are fifteen district licensing workers statewide and they spend about 90% of their time licensing day care. Five county licensing workers provide some additional licensing manpower (spending only about 10% of their time in day care licensing). In total, approximately 14 FTE's are allocated to child care licensing. All licensing workers have authority to recommend a license denial, but final authority rests with the district licensing supervisor after a fair hearing process is completed.

A B.A., preferably in social work, constitutes the minimum requirement for licensing workers. On-the-job training is encouraged but not required and consists of special seminars on early child behavior and child development.

7-2 STANDARDS

Standards Development Process: Center standards were updated in 1974. The 4-C's group developed the draft, based on a review of FIDCR standards and relevant literature, and submitted it to the SRS Advisory Board. After a review by this board, along with some consumers and other agencies (the health department and fire marshall), the standards were adopted. Family day care home standards which date from 1968 are currently being revised.

Content of Standards:

Staff-Child Ratios

Centers:	A 1:10 staff-child ratio is used for all age groups.
Group Day Care Homes:	Not an identified state provider type.
Family Day Care Homes:	Infancy - 3 yrs. require no more than 2 children under 2 yrs. and no more than 5 children including the caretaker's own under 14 yrs. Three-14 yrs. requires no more than 6 children including the day care provider's own.

Additional Components of Standards: The following components are part of the standards for centers and homes:

- Staff qualifications
- Physical facility standards
- Nutrition
- Safety

Components of standards for centers also include:

- Health
- Education/program content
- Discipline
- Records and reports
- Transportation

Comparison of Licensing Standards with FIDCR: Montana has no licensing standards which exceed FIDCR's. Montana's staff-child ratio for centers (1:10) is uniform for all ages while FIDCR requires age-grouped, higher ratios. Only the 6-14 year old category (1:10) is matched by Montana's standards. For homes, Montana's standards coincide precisely with FIDCR standards.

There is no separate FIDCR certification process. FIDCR certification is part of the licensing process, according to state officials who felt that Montana's standards were close enough to FIDCR so that licensure under state standards would imply FIDCR compliance.

It is estimated that only 33-38% of the centers and 15% of the family day care homes are willing/able to comply with FIDCR. The key problem is meeting prescribed staff-child ratios, and state staff reported that a 53% increase in staff would be required in order to achieve full compliance. A request for waiver has been made, but has not yet been granted. Other provider difficulties in meeting standards relate to training, educational and health component requirements.

7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total #	# Sanctioned	% Disq.	Planned	Actual
Public Centers	Not An Identified Provider Type in Montana					
Private Centers	License	about 45	41	UNK	Annual	Annual
Group Day Care Homes	Not An Identified Provider Type in Montana					
Family Day Care Homes	License	about 1800	890	UNK	Annual	Annual
In-home	Not Used to Serve FFP Clients					

Fees for Licenses: No fees are charged.

Content of License: The license for family day care homes includes:

- o Date of issue
- o Period valid and/or expiration date
- o Maximum number of children to be served
- o Age range of children to be served
- o Category of license and limitations

The license for centers includes all of the above plus the maximum hours of service in a 24-hour period.

7-4 LICENSING PROCESS

Areas of Investigation: A licensing study generally covers the facility's physical characteristics, provider characteristics, provisions for educational component, and adequacy of nutritional component. The Missoula district also investigates the handling of sick or injured children and the adequacy of meeting the needs of special children (handicapped, etc.).

Extent and Nature of Process: For family day care homes and private centers a structural licensing study format is used. Homes are made aware that a license is required through newspaper notices, word-of-mouth, and clients notifying providers in order to have an approved placement. Homes generally require 1 visit and private centers 2-3 visits to complete a licensing study. Both require approximately 30 days for completion of a study. Non-compliance with various standards is the greatest impediment to licensing issuance for both provider types.

Conditional Licenses: These are issued primarily at district level. Generally, all providers begin with a "provisional" license on which follow-up occurs after 30 days. This follow-up continues under the provisional license for no more than 6 months if compliance is being undertaken in "good faith". If compliance is not achieved after that period, the provisional license is revoked and no regular license issued. The number of conditional licenses issued by the state is not available. At Missoula, 11 conditionals were issued last year - most because of corrective action needed for fire hazards and the inadequacy of recreational equipment.

Revocations: Written notice of revocation is sent to a provider by certified mail. They are notified of right to fair hearing. The district SRS office makes determination from this information. None revoked in Billings recently; a comparable figure is not available for Missoula or on a statewide basis.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

The Community Services Division of the state SRS has responsibility for monitoring all contracted centers for licensing and contract compliance. The three state staff members who are assigned to do this monitoring cover all social services, including child care. Only child care centers operating under POS contracts are monitored at the state level.

Licensing workers at the district level may engage in monitoring activities in relation to family day care homes. This activity, where it occurs, is generally performed on a discretionary basis.

8-2 SUMMARY OF MONITORING ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	Not Identified as a Separate Provider Type					
Private Centers	SRS Community Division	37%	100%	100%	Quarterly	6 hrs./site
Group Day Care Homes	Not Identified as a Separate Provider Type					
Family Day Care Homes Homes	District Licensing Workers	At Local Discretion - Not Uniformly Implemented Throughout the State				
In-home	Not Used to Serve FFP-Eligibles					

Monitoring of family day care homes is not uniformly implemented throughout the state. Missoula reported monitoring 75% of the family day care homes, yearly, while the other district stated that they did not monitor family day care homes.

8-3 PROCESS

Areas covered by the state monitors include: staff-child ratios, compliance with federal regulations, eligibility, and evidence of progress since the prior visit. There are no official policies governing monitoring and no standardized instruments; there is, however, a guide to assist monitors in making their observations. Scheduled site visits are the main method utilized.

The one district which does engage in monitoring activities has developed its own monitoring instrument and uses surprise visits and phone calls as well as scheduled site visits.

8-4 RESULTS

State staff reported that no center providers were out of compliance with state contract standards, while district respondents estimated that some 25-38% were out of compliance.

The areas of greatest difficulty in achieving compliance include staff-pupil ratios, facilities, and staff training.

Follow-up consists of a notification to the provider; this notification specified the areas of non-compliance and sets a target date for achieving compliance. In addition, informal technical assistance is provided in identified areas of need.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The 4-C's unit of the Child and Youth Development Bureau (within the Community Services Division of SRS) plays the dominant state role in providing T & TA to centers throughout the state. It is estimated that two full-time-equivalent staff members, and approximately $44,000 are allocated to training each year. In addition, approximately seventy hours each week are spent in providing technical assistance, although no specific sum of money has been budgeted for this purpose.

Local: The district social worker, the local 4-C's chapter, and, at one local site, the licensing workers are all involved in the provision of T & TA at the local level, to a greater or lesser extent. Thus, the time allocated to training ranged from two days a year in one district to approximately 65 days a year in the other. The time allotted to technical assistance ranged from eight to 45 days a year, between the two sites. No specific amounts were budgeted for either training or technical assistance at the district levels.

Staff Background: The backgrounds of 4-C's staff members vary from formal education in early childhood education to the background derived exclusively from having been a day care parent. Other SRS staff members engaging in T & TA activities generally have social work backgrounds and some experience in a child development field. On-the-job training is encouraged but not required. There were several comments to the effect that more training for workers providing T & TA would be highly advantageous.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State SRS Staff	HEW Regional Office	Seminars on interpretation of new regulations	2 days
Local SRS Staff	State 4-C's Unit of the Child and Youth Development Bureau	Training sessions for local social workers to acquaint them with the most pressing needs of day care providers.	Sporadic

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Provider Training and Assistance

To Whom	By Whom	Description	Amount
Centers and Homes	State 4-C's Unit	Group and individual training on home economics, creative play, the educational needs of culturally-different children, and the daily care of children	All providers 4 hrs./site
Centers (Missoula and Billings)	District Resource Worker & Local 4-C's Unit	Monthly training session on child development and program content	providers at Missoula (2½ days/site); 100% at Billings (2 hrs/mo.)
Homes (Missoula and Billings)		One-day training sessions for new providers on selected problem areas	2½ days/provider at Missoula; Unk at Billings

In Montana, the state and local 4-C's organization is a primary source of training and technical assistance. Both state and local staff felt that providers were significantly more receptive to 4-C's staff than to the SRS social worker presumably because the latter is engaged in licensing and is seen as a threat while the former is not. State personnel felt that the allocation of T & TA responsibilities for homes to the district staff places responsibility on a group that has inadequate time, money and training to do the job.

9-3 PROCESS

The methods for identifying the need for T & TA include:

- o Requests from providers
- o Problems identified through monitoring or other contracts, particularly those identified by 4-C's in the course of periodic "rounds" of centers.

Licensing workers and providers were identified as the groups with greatest need for T & TA. The need for training of licensing workers derives from the changes in standards and from their role in providing assistance to providers. The prime content areas in which providers need assistance are:

- o Meeting FIDCR licensing requirements
- o Understanding the child development process
- o Facilitating creative play
- o Developing effective discipline
- o Encouraging parent involvement

Site visits are the main means of providing technical assistance, and training is offered through seminars and workshops.

9-4 RESULTS

State personnel were unable to evaluate whether T & TA needs had been adequately met, but they stressed the fact that the provision of additional training for licensing workers (to enable them to better assist providers) would contribute greatly to meeting the needs.

Subsequent to the delivery of T & TA services, there is generally informal follow-up to assess its effectiveness. Thus, the 4-C's staff generally visit centers every six months and the district social workers visit day care homes approximately as often.

One major outcome of the T & TA program has been the formation of a state day care association of professional day care operators. This organization began one year ago and now includes about seventy operators; it is interested in upgrading day care through identifying needs and developing means of meeting these needs.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by a centralized support unit of the SRS. There is no separate child care unit.

Local - In effect, there is no local fiscal unit. All the fiscal decisions are made at the state level which sends instructional memos to the local social service worker who forwards the desired fiscal information to the state unit in accordance with the memo.

Function: Fiscal and program personnel are separate,and program staff determines all programmatic policies. The fiscal staff delineates policies and procedures for auditing day care vouchers, prepares back-up papers for computerized system. Basically, the fiscal unit provides technical support to program staff who make fiscal allocations based on programmatic criteria.

10-2 FISCAL MATERIALS

The full complement of required fiscal materials have been developed by the social services fiscal units and are regularly used. All but one is rated good with no extremes.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	$736,938 (67%)	UNK
WIN	345,549 (31%)	UNK
CWS	16,290 (2%)	UNK
Unmatched State Funds	-0-	UNK
Other	-0-	UNK
TOTAL	$1,098,777	UNK

100% of the local share is provided by the state of Montana.

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Purchase of Service		
Contracted Facilities	$736,938	UNK
Vendor-paid Facilities	361,839	UNK
Direct Provision/Operation	None	None
Client Purchase with Social Service Reimbursement	None	None
TOTAL	$1,098,777	UNK

Description of Funding Methods/Processes:

A. Purchase of Service/Vendor Payments: All services from centers are purchased directly through formal contracts containing all required Title XX components. Services from family day care homes are procured through vendor payments using abbreviated contract forms.

Contract management is performed by the Community Services Division of the SRS. No large scale sub-contracting is undertaken. Quality control procedures include quarterly audits of centers, semi-annual audits of homes, and voucher match-up with client computer records. Overpayments are adjusted through equivalent reductions of subsequent payments to providers.

B. Direct Provision: None

C. Client Purchase: None

10-5 RATE ESTABLISHMENT

Unit of Measurement: Per slot and per child full time (i.e., greater than 6 hours per day).

Provider Type	RATES		
	Basis	Average	Range
Public Centers	Not Identified as a Provider Type in Montana		
Private Centers	Legislatively Established	$5/day	flat rate
Family Day Care Homes	Legislatively Established	$4/day	flat rate
Group Day Care Homes	Not Identified as a Provider Type in Montana		
In-home	Not Used to Serve FFP-Eligibles		

Maximum rate, if specified: Same as flat rate.

10-6 IN-HOME CARE

No state or federal support for in-home care exists.

10-7 INCOME ELIGIBLES AND PARENT FEES

Since no one who earns more than 150% AFDC is eligible for service, there are no fee schedules or parent fees. Ineligibles must pay the full cost of care.

10-8 DONATIONS

Third-party, non-profit organizations donated $19,402.41 in FY '75.

1. OVERVIEW

1-1 ORGANIZATION

Administrative Model: State supervised, county administered.

Description of Administrative Structure: The Department of Public Welfare is the designated state services agency. The Department consists of several program divisions as well as a series of centralized services.

Responsibility for all child day care services is vested in the Division of Social Services. There is a specific unit (Family and Youth Services) which is responsible for child care program administration.

In addition to Family and Youth Services, there are three other units within the Social Services Division involved in child care. There is a Program and Planning Unit which developed the Title XX plan and is responsible for on-going planning. Fiscal management is handled by a Control Management Unit. The licensing function is overseen by a state Licensing Consultant within a Resources Mobilization and Development Unit.

Statewide, there are six state-operated regional offices in Nebraska. Each region consists of multiple counties which are county administered.

Each regional office consists of a Regional Director, a Social Services Representative, and various program planning and administration personnel. Licensing Specialists at the regional level are responsible for licensing and monitoring centers and homes.

At the county level there is a county director, and depending on the size of the local unit, a Supervisor of Social Services, and county service workers. Generally, Licensing and Monitoring are undertaken at the regional level, while information and referral, and client eligibility, are undertaken at the county level. Training and technical assistance is provided at the state, regional, and county levels.

Nebraska's site visit was conducted in January, 1976. Interviews were conducted with state officials and with local officials in Sarpy and Buffalo Counties.

1-2 RESOURCES ALLOCATED TO CHILD CARE (ANNUAL BASIS)

	Expenditures FY 74-75	Allocations FY 75-76
Total Social Services Funds (Titles IV-A/XX)	$15,996,057	$16,376,899
Total Child Care Funds (Titles IV-A/XX)	4,586,119	5,205,604
Percentage of Total Social Services Funds Allocated to Child Care	29%	32%

The Comprehensive Annual Services Program Plan (CASP) for 1975-76 is a 9 month plan (October 1, 1975 - June 30, 1976). Figures shown in the plan for Social Services and Child Care are $12,313,458 and $3,913,988, respectively. These figures have been annualized by multiplying by a factor of 1.33. The figures include direct day care services for children only.

There are 1 1/2 staff members assigned to child day care at the state level. The total staff statewide allocated to child care was not available.

1-3 VOLUME OF CHILD CARE SERVICES

Provider Type	Number Sanctioned* Providers	Number FFP Children	Actual Expenditures FY 74-75	Anticipated Expenditures FY 75-76
Public Centers	3	195	$234,121	$1,928,687
Private Centers	157	1,598	$1,784,344	
Group Day Care Homes	THIS CATEGORY NOT UTILIZED			
Family Day Care Homes	550	3,251	$2,263,070	$2,810,367
In-Home Care	193	661	$304,644	$375,558
TOTAL	903	5,705	$4,686,345**	$5,114,613

*Includes all licensed, approved or otherwise sanctioned providers.
**Includes $100,166 from WIN

1-4 INFORMATION SYSTEM

Nature of Records:

Type of Record	Utilized	Primary Client	Where Maintained
Narrative social service case records	yes	Individual	local
Standardized social service forms	yes	Individual and Family	state and local
Computerized records	yes	Individual	state and local

Extent of Data: Narrative and standardized social service forms are utilized. There is also a statewide computerized information system. Narrative material is retained at the local level. A copy of a Social Service Data Input Document is sent to the state.

The narrative records are complete only for client identifiers. Standardized social services data is complete except for the goal data and service delivery data. The computer records are substantially complete except for demographic data.

Data Aggregation: Data is collected at the local level and introduced into a computer system by a state control unit. This computerized system generates daily, weekly, and monthly reports, often by region and county, for certain program and fiscal operations. Some reports are retained by the state control unit while others are distributed to regional and county offices.

The state anticipates no problems in meeting social service reporting requirements as they relate to child care services.

1-5 STATUTES

There is a statute which stipulates state participation in any federal program where the match is three to one or better.

1-6 IDENTIFIED PROBLEMS/STRENGTHS

It was reported that providers have difficulty in attaining total compliance with FIDCR in such areas as the staff:child ratios and the health requirements. It was felt that there would be a definite increase in cost (est. 50%) if all FIDCR components were implemented.

The only other problem cited was the turnaround time (22 days) in paying providers.

2. NEEDS ASSESSMENT

2-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: It was reported that a needs assessment was undertaken by an outside consultant in 1973. The study, which compared child care needs with resources, was not utilized in Title XX planning.

A second needs assessment study was undertaken by the Division of Social Services prior to Title XX planning. Two questionnaires were developed to identify service needs -- one for citizens and one for the various service agencies. The citizen questionnaire was designed to identify service needs, groups of people needing services, the services now received, and demographic information. The agency questionnaire was designed to identify available resources by service category.

The citizen questionnaires were made available at all local service units, regional and state offices, and were completed by interested persons. In addition, the questionnaire was furnished to outside agencies for distribution. The media was utilized to notify the public of the availability of the forms. In total, over 30,000 questionnaires were distributed.

The agency questionnaire was completed by regional offices and local service units as well as an extensive set of outside agencies.

Staffing: Two full time equivalents spent three months on the needs assessment. Child care staff provided input.

2-2 PROCESS

Scope:

Sources of Information	Extent Utilized	Strategy
Documentary Sources	no	none
In-house Agency Personnel	Extensive Utilization	Agency Questionnaire
Community Agencies	Extensive Utilization	Agency Questionnaire
Service Providers	Utilized to Some Extent	Agency Questionnaire
Consumers	Extensive Utilization	Citizen Questionnaire
General Public	Extensive Utilization	Citizen Questionnaire

2-3 RESULTS

Specific Numerical Results: 10,000 citizen questionnaires were returned to the state agency. A total of 9,048 questionnaires could be used in the analysis. Major findings included:

- Transportation services, child day care services, and housing for aged were shown as the three most needed services.
- Aged persons were indicated as the group of persons who should be given first priority. The physically handicapped and children and youth were second and third in service priorities.

Degree of Integration into the Planning Process: Although it was recognized that the findings of the needs assessment study could not be regarded as statistically representative, it was reported that the findings provided a "starting point" for the definition of service needs and for planning.

3. PLANNING AND IMPLEMENTATION

3-1 ORGANIZATION

On-going Planning: The Division of Social Services has responsibility for on-going planning. This is coordinated by a Program and Planning Manager with assistance from a Program and Planning Specialist.

Title XX Planning: The Program and Planning Manager coordinated Title XX planning with input from state, regional and local staff.

Staffing: 7 people (3 FTE's) worked on the Title XX plan. In total, the needs assessment and Title XX plan required 6 months.

3-2 PLANNING PROCESS

The planning process utilized for Title XX planning was similar to that of previous planning efforts, but more formalized and extensive.

Basically, a formatted program planning and budget worksheet was completed by each local service unit, and submitted to respective Regional offices. The Regional offices combined the local plans into total regional plans and then submitted them to the state. At the state level, the Program and Planning Manager was responsible for coordination.

Once a draft Title XX plan was prepared, a series of 32 public hearings were convened. In addition, the state received comments on the proposed plan through a toll-free telephone service and through letters from agencies and citizens.

As a result of comments received, the child care allocation of the proposed Title XX budget was increased as well as the number of children to be served.

3-3 RESULTS

Areas for Quantification	Defined	Quantified	Types and Numbers	Comparison
Total number to be served	yes	yes	8,400 children	34% more
Population Categories to be served	yes	no	AFDC; SSI*; income eligibles; protective services**	unk.
Priority Population groups	no	no	---	--
Service Provider Types	no	no	---	--
Special Provider attributes	no	no	---	--
Geographic Areas	yes	no	---	--
Dollars Allocated for service	yes	yes	$5,205,604	10% more

*SSI - includes State Supplementary recipients

**protective services - includes all individuals who require protection from abuse, neglect and exploitation

Planned Organizational Changes: Two administrators have been added to the state management staff.

3-4 UTILIZATION/IMPLEMENTATION

It was reported that the income eligibles category necessitated the development of a statewide training program regarding client eligibility.

4. EVALUATION

No systematic or formal statewide child care evaluations have been conducted

It was reported, however, that the Division of Social Services is developing a "quality assurance, evaluation process," the results of which will be used to improve service delivery processes and benefits to clients.

The evaluation process will be carried out by state regional office staff. This staff will also provide on-site technical assistance and training as necessary.

5. INFORMATION AND REFERRAL

5-1 AGENCIES/PERSONNEL PROVIDING I & R SERVICES

There is no information and referral service available at the state level. It was reported that county-administered information and referral services are in place statewide. This includes information and referral for all social services, including child care. The dominant staff providing information and referral are county-level social service workers.

Generally, the way in which information and referral is organized in Nebraska varies by county, depending particularly on county size. In large counties, there may be a single worker assigned to information and referral. In smaller counties, a worker could be assigned to information and referral as well as other functions.

5-2 PROCESS

Assembling Information

Provider Type	Systematized	Freq. of Updates	Information Compiled			
			Ages	Hrs.	Rate	Avail.
Centers	yes	varies by county	yes	yes	yes	no
Homes	yes		yes	yes	no	no
In-home	no	--	--	--	--	--

Frequency of updating varies by county. In Sarpy County, provider lists are updated monthly. In Buffalo, lists for centers are updated quarterly, while updating for homes is accomplished on an on-going basis.

Disseminating Information: Specific methods of dissemination vary by county. Word of mouth, newspaper articles, radio spot announcements, and presentations to civic groups, were cited as methods for making the community aware of child care services.

Assessing Client Need/Referral and Follow-up: County social workers have responsibility for assessment based on age, family composition, personality and developmental level, hours and location. The assessment requires approximately 20-30 minutes. Parents are actively involved in the assessment process, including selection of a facility.

Follow-up practices vary by county. In Buffalo, there is no follow-up unless there is a specific problem. In Sarpy County, follow-up takes place every 30 days.

5-3 RESULTS (County)

Time period: 3 months

	Sarpy County	Buffalo County
Number clients seeking child care referral	35	30
Number actively assisted	31	25
Number securing their own services	4	5
Number unable to secure services	0	0

No information and referral results are compiled statewide.

6. CLIENT ELIGIBILITY

6-1 ORGANIZATION

Eligibility policies and procedures are established at the state level. Direct implementation, from the securing of applications through the determination of eligibility, is the responsibility of county social workers.

6-2 POLICY PROVISIONS

Eligible Population Categories:

- AFDC-WIN
- AFDC non-WIN
- SSI - includes SSI state supplemental
- Income eligibles; defined as:
  - Free care for families earning up to 44% ($688/mo.) of the state median income
  - Sliding fees for families earning from 44% to 62% of the state median income
  - Full cost to families earning over 62% of the state median income
- Protective services - include individuals who require protection because of neglect, abuse and exploitation

Revisions Since the Passage of Title XX: No changes were specified.

Materials to Ensure Uniform Interpretations: A manual of guidelines has been developed by the state and distributed.

6-3 PROCESS AND VOLUME

Applications: Standardized forms are in use throughout the state.

The applications are generally secured by county social service workers in the course of personal interviews with applicants.

It was reported in both counties visited that initially a cursory interview, covering certain areas of eligibility (e.g., income), is conducted. If the client does not meet eligibility criteria, an application may or may not be completed.

No records are maintained on the number of applications received. In Sarpy County it was estimated that approximately 500 applications were received for social services. Of these, it was estimated that 50% were for child care services. Of the estimated 240 applications received in Buffalo, it was estimated that 50% were also for child day care.

Eligibility Determination and Verification: The eligibility determination is made by county workers. If the client is a welfare recipient, this fact is verified by checking AFDC files and the client is determined to be eligible. Generally the eligibility determination for AFDC recipients can be made immediately.

If the client is employed, verification (e.g., check stubs) is required to establish that the client meets the income eligibility requirements. Depending on the material the client brings to the interview, the eligibility determination can generally be made immediately or within two days.

The delivery of child care service does not begin until the client is determined to be eligible. For clients already receiving service, the state will reimburse 10 days retroactively.

In Sarpy County, approximately 75% of the applicants were found eligible. In buffalo, almost 100% were determined eligible.

Quality Control: All clients are urged to report changes in status which affect eligibility (e.g., income, family composition). No formalized procedure was being practiced.

Re-Determination of Eligibility: Eligibility is re-determined every six months which includes a redocumentation. If a client is found ineligible, payment for child day care services is discontinued.

Appeals: When clients are found ineligible, they are advised of right to appeal. No appeals were filed in Sarpy County. One appeal (still pending) has been filed in Buffalo.

6-4 PARENT FEES

Day care services are free up to 44% of the state median income. Parent fees, on a sliding scale, are charged from 44% to 62% of the state median income (for a family of four).

7. LICENSING AND OTHER SANCTIONS

7-1 ORGANIZATION AND LEVEL OF EFFORT

Locus of Responsibility: The state Division of Social Services is responsible for the development of licensing standards for all provider types required to be licensed by state statute.

For centers and Family Day Care Homes, licensing specialists in the six multi-county Regional Offices have responsibility for implementing the licensing procedures, including both issuance and enforcement. It was reported that the activities of the regional licensing specialists are closely supervised by the state licensing consultant.

A license is not required for in-home providers, but they must be approved. Responsibility for the approval procedure is with county level service workers.

According to Nebraska law, anyone taking care of children from more than one family must be licensed or approved. In addition, centers and homes who serve FFP children must meet a FIDCR certification.

Staffing: There are 8 licensing specialists at the regional level with 5 full-time equivalents assigned to child care licensing. An undergraduate degree (preferably in the social or behavioral sciences) plus two years of related experience is required for employment as a licensing specialist. Related work experience can be substituted for up to 3 years of the educational requirement.

The number of county level service workers assigned to licensing is unknown. High school graduation and two years work experience or college education is required for employment.

7-2 STANDARDS

Standards Development Process: The standards for centers and homes were updated in 1971. Standards for in-home care were updated in 1974.

An advisory committee, consisting of providers, educators, consumers, and public and private agency representatives, was formed to review and suggest changes to the licensing standards. Public hearings were then conducted and the revised standards were reviewed by the Division Director.

Content of Standards:

Staff-child Ratios

Centers:	Ages	Ratios
	6 wks. - 24 mos.	1:4
	2 - 3 years	1:5
	3 - 5 years	1:7
	5 - 13 years	1:12

Group Day Care Homes: This category not utilized.

Family Day Care Homes:

> The total number of children cannot exceed 7, providing there is sufficient space for this number, with not more than two children under two years of age, including the operator's own children or relatives' children under 13 years of age.

Additional Components of Standards: Standards for centers regulate administration, program, parent involvement, health, the plant, transportation, insurance, sanitation and fire.

For homes, the standards regulate qualifications for the provider, admission of children, the program, health, transportation, insurance, sanitation and fire.

Comparison of Standards with FIDCR: State personnel reported that no state standards exceed FIDCR. The staff-child ratios for both centers and homes are less stringent.

A special FIDCR certification is required if providers serve FFP children. It was stated that providers have difficulty in attaining full compliance with FIDCR. The staff:child ratio and health requirements were cited as particularly difficult.

It was stated that there would be a definite increase in cost (est. 50% if all FIDCR components were implemented.

Staff were particularly concerned with public response to the possibility that FFP children might be able to obtain higher quality child care than non-FFP children.

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7-3 SUMMARY OF ACTIVITIES

Provider Type	Sanction Required	Providers			Renewal Freq.	
		Total#	#Sanctioned	%Disq.	Planned	Actual
Public Centers	License/ certification	3	128 (32 pending)	UNK	Annual	Annual
Private Centers	License/ certification	157		UNK	Annual	Annual
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	License/ certification	550	440 (110 pending)	UNK	Annual	Annual
Relative In-Home	Approval	UNK	(All serving FFP eligibles)	UNK	Annual	Annual
In-Home						

Fees for License: A fee of $1.00 is charged.

Content of License: A license for both homes and centers includes:

- Date of issue
- Period for which valid (and/or expiration date)
- Maximum number of children to be served
- Age range of children
- Category of license (and limitations)

7-4 LICENSING PROCESS

Areas of Investigation: For homes, the licensing study includes investigation of physical characteristics of the facility, staff characteristics, the educational component, the nutritional component, and provisions for handling sick children. For centers, the investigation also includes the extent of parent participation.

Extent and Nature of Process: A structured format is used for all day care provider types. Providers are made aware of the state licensing requirement through users, social service workers, neighbors, and the media.

Homes generally require one or two visits for completion of the licensing study. Four or five visits may be made for centers (including inspections by the fire marshal and the health inspector).

The time lapse from the initial visit to the issuance of a license varies by county. Generally, family day care homes require anywhere from 2 weeks to 6 months. Day care centers require anywhere from one month to four months, and in some cases up to a year. In one region, all centers are initially issued a provisional license until the child care program can be fully studied.

It was reported that delays in licensing issuance often result from the health and fire inspections and from staff medical reports.

Conditional Licenses: A conditional license can be issued for 90 days. Follow-up varies by county. The specific timing of the follow-up is left to the licensing specialist depending on the problem being corrected or the program being evaluated. A total of 30 provisional licenses have been issued for both centers and homes.

Revocations: If a provider is not in compliance, a written or verbal warning is issued with a specific period for corrective action (usually 90 days). Providers have access to an appeal procedure.

8. MONITORING

8-1 ORGANIZATION AND LEVEL OF EFFORT

Monitoring is the responsibility of the state Division of Social Services. It was stated, however, that there are no specific state policies governing monitoring.

At the state level, there is a Licensing Consultant as well as a Control Manager who are involved in paper monitoring. The state Licensing Consultant reviews field reports submitted by Regional Licensing Specialists. The Control Manager reviews print-outs generated by the state computer system.

Monitoring at the regional level varies. Generally, licensing specialists are involved in monitoring both centers and homes. It was reported that regional level Program and Cost Analysts can also be involved in monitoring.

In addition, monitoring is undertaken at the county level with practices differing by county, depending on needs and staff time. Generally, county monitoring is undertaken on an as-needed basis.

8-2 SUMMARY OF ACTIVITIES

Provider Type	By Whom Monitored	Percent Monitored			Frequency	Av. Time Per Unit
		Of All Sanctioned	Of All Serving FFP's	Of All Contracted		
Public Centers	Regional and County staff	Varies by region and county			1-2 visits annually - reg. staff	1-4 hrs/ visit - reg. staff
Private Centers					1 visit annually - co. staff	1-2 hrs/ visit - co. staff
Group Day Care Homes	THIS CATEGORY NOT UTILIZED					
Family Day Care Homes	Regional and County staff	Varies by region and county			1 visit/yr. reg. staff 1 visit/yr. co. staff	1-3 hrs/ visit - reg. staff 1-2 hrs/ visit - co. staff
In-Home	County staff	Varies by county			1 visit/yr.	1-2 hrs/ visit

No statewide statistics are available on monitoring. At both regional and county levels, monitoring practices vary across the state.

In both sites visited, it was reported that centers were visited monthly for 1-3 hours. In one site, it was stated that centers as well as homes are visited monthly.

8-3 PROCESS

Methods utilized in monitoring include scheduled visits, unannounced visits, and phone calls. There are, however, no state guidelines, format, or standardized schedules for undertaking monitoring. Decisions concerning the mechanics of monitoring are left to regional and county offices and there is considerable variation.

At the state level, monitoring generally emphasizes compliance with state administrative practices, but also includes federal regulations (including FIDCR) and state laws and codes.

8-4 RESULTS

State staff cited the staff-child ratios, staff training, and health as areas of compliance difficulty. Personnel at all levels, however, feel very few providers are out of compliance. When a provider is found to be out of compliance, the revocation procedure - involving a warning time for correction and follow-up - is initiated. Technical assistance is provided in conjunction with the follow-up visits.

9. TRAINING AND TECHNICAL ASSISTANCE

9-1 ORGANIZATION AND LEVEL OF EFFORT

State: The State staff, including the Licensing Consultant, the Control Manager, and a Resource Development Specialist, have conducted a training program for regional level staff. In addition, the state staff is involved in providing assistance to both homes and centers.

It was reported that $25,000 was budgeted for child care training and technical assistance.

Local: The six Regional staffs, including the licensing specialist, program and cost analysts, and social service representatives, have provided training to county level staffs. In addition, the regional staffs provide assistance to centers and homes.

County level workers provide assistance to in-home providers.

It was stated that all centers and homes statewide have received one person day of technical assistance. Sarpy County provided approximately 75% of in-home providers with two hours of technical assistance. Buffalo County was unable to provide an estimate.

Staff Background: Most of the state and regional staffs have undergraduate degrees with many working toward or possessing a graduate degree. Most of the staff have experience in the field.

County level staffs have a high school degree and at least two years' experience.

9-2 ACTIVITIES

Staff Development

To Whom	By Whom	Description	Amount
State staff	Regional S.R.S. and O.C.D.	Consultation	4 1/2 days/yr
State staff	Outside consultants	Training techniques and evaluation techniques	10 days
Regional staff	state staff	Training sessions: policy, procedures, resource development	12 days
County staff	Regional staff	Training sessions: policy, procedures, resource development	12 days

Provider Training and Assistance

To Whom	By Whom	Description	Amount
Center and Home Providers	State coordinated	Workshops statewide open to all providers utilizing a day care training kit	UNK
Family Day Care Homes	State and Reg. staff	Site visits, operation of quality programs	1 day
Day Care Centers	State and Reg. staff	Site visits, operation of quality programs	1 day
In-home	County staff	Site visits, operation of quality programs	1 day

9-3 PROCESS

The methods for identifying needs for training and technical assistance include:

- solicitations of areas of need from regions and counties
- problems identified during licensing studies and monitoring
- requests from staff and providers

Day Care home providers, the regional licensing specialists, and county service workers were identified as the groups with the greatest need for training and technical assistance.

Training and technical assistance is provided through workshops, site visits, telephone contact, written materials, outside consultants, and a quarterly newsletter.

9-4 RESULTS

No systematic follow-up process has been implemented to determine the effectiveness of training and technical assistance. It was felt, however, that the training and technical assistance effort has been beneficial.

Personnel at the state, regional, and county levels would like to see an on-going regularly scheduled training program implemented.

9-5 PRINTED MATERIALS

Materials include several brochures, a quarterly newsletter, and a day care training kit.

10. FISCAL MANAGEMENT

10-1 ORGANIZATION

Structure:

State - The fiscal function is performed by a control management unit within the Division of social services. There is no separate child care unit.

Local - The regional and county levels perform no child care fiscal functions other than provider billing reviews.

Function: Although fiscal and program personnel are separate at the state level, it was reported that a team approach is used in fiscal planning and operations. This includes regularly scheduled meetings between fiscal and program personnel.

Providers submit a billing form to county offices. The form is edited and reviewed and then sent to the state office where it is checked against computer records. The turnaround time from receipt of billing to payment is generally about 20 days.

10-2 FISCAL MATERIALS

All fiscal materials and forms have been developed by the Control Management Unit. All were rated as good with no extremes.

10-3 INCOME SOURCES

Source	Amount/% FY 74-75	Amount/% FY 75-76
Title XX/IV-A	$4,586,179 (98%)	$5,218,650 (95%)
WIN	100,166 (2%)	~~280,000~~ (5%)
CWS	none	none
TOTAL	$4,686,345	$5,498,615

10-4 DISTRIBUTION OF EXPENDITURES, BY METHOD OF SERVICE PROVISION

Method	FY 74-75 Expenditures
Purchase of Service Contracted Facilities	$4,452,224
Vendor-Paid Facilities	none
Direct Provision/Operation	234,121
Client Purchase, with Social Service Reimbursement	none
TOTAL	$4,686,345

Description of Funding Methods/Processes:

A. Purchase of Service: Except for three centers, all services are purchased.

Written contracts have been developed for centers, homes, and in-home providers. The local social service staff is responsible for negotiating the contracts.

B. Direct Provision: There are three county administered centers which are reimbursed on the basis of a line item budget.

C. Client Purchase: none.

10-5 RATE ESTABLISHMENT

Unit of Measurement: All units of measurement are used.

Provider Type	RATES		
	Basis	Average	Range
Public Centers Private Centers	State regulations: "whatever is usual and customary in community"	$1.09/hr. $5.32/day $29.08/wk $55.25/mo.	UNK
Family Day Care Homes	State regulations: "...usual, customary..."	$.72/hr. $3.85/day $19.85/wk $56.50/mo.	UNK
Group Day Care Homes	THIS CATEGORY NOT UTILIZED		
In-home	State regulations: "...usual, customary..."	$.73/hr.	$.40-$2.00

Rates are determined by what similar facilities are charging for ineligible clients.

10-6 IN-HOME CARE

An average of $.73 per hour is paid with a maximum of up to $2.00. No problems were cited.

10-7 INCOME ELIGIBLES AND PARENT FEES

Persons with incomes up to 44% (family of four) of the state median income are eligible for free day care services. Persons with incomes from 44% to 62% state median income are charged fees on a sliding scale.

10-8 DONATIONS

No donations were received in FY 74-75.

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